

Parole Reform in California

An Evidence-Based and Best Practices Approach

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Prepared by:
The Parole Reform Task Force

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Executive Summary.....	1
Backdrop: Division of Adult Parole Operations Mission and Values	5
Section 1: Introduction	7
Exhibit 1: Core EBP Findings.....	10
Section 2: Pre-Release Planning.....	15
Section 3: Case Management	19
Section 4: Case Conference	22
Section 5: Supervision Model and Quality of Contacts	25
Section 6: Agent Workload Equity	32
Section 7: Programming.....	34
Section 8: Rewards and Incentives	35
Behavioral Incentive Chart	36
Section 9: Discharge Consideration	38
Discharge Consideration Criteria	40
Section 10: Interim Implementation Plan.....	46
Appendix 1: California Parole Supervision and Reintegration Model Flow Chart.....	48
Appendix 2: Quality Assurance	51
Case Plan Audit Checklist	54
Effective Case Conference Checklist	55
Category Movement Checklist	56
Discharge Consideration Process Checklist.....	59
Decision Making Guidelines	62
Appendix 3: Performance Measurement	64
Appendix 4: Combined Timeline.....	69
Appendix 5: Forms	73
Section A – Pre-Parole Residence Verification.....	74
Section B – Initial Interview Form	76
Section C – Comprehensive Initial Interview	78
Monthly Goals Report	81
Discharge Consideration Committee	82
Discharge Review Report	85
Parolee Exit Survey.....	90
Appendix 6: References	91

EXECUTIVE SUMMARY

Introduction

The passage of California's Penal Code Section 3000.03 will result in significant changes in the management and supervision of California's parole population. In keeping with its mission to enhance public safety and reduce the likelihood of reoffense among offenders on parole supervision, California's Division of Adult Parole Operations (DAPO) has taken the opportunity this new legislation presents to comprehensively reexamine parole policies and practices.

In October 2009, DAPO established the Parole Reform Task Force, a group of individuals representing all sectors of the division. Its mission was to reconsider all parole policies and practices in light of the changes that would result from passage of Penal Code Section 3000.03, contemporary research regarding the most effective strategies to reduce offender recidivism, and emerging practices in colleague jurisdictions across the country. This document reflects the product of the Parole Reform Task Force's efforts. Those efforts have resulted, in some instances, in recommendations for significant change to DAPO's current parole supervision strategies.

Parole Failure: A Significant National Concern

According to the U.S. Department of Justice, Bureau of Justice Statistics, sixty seven percent of individuals released from our nation's prison are rearrested within three years after discharge.¹ In California, a relatively recent and comprehensive study examining California's parole population demonstrated similar results: At the end of three years, 66% of California's parolees had been returned to prison. These returning parole violators account for approximately 70,000 of California's prison admissions each year.² In fact, on any given day, the study determined, six out of ten admissions to California's prisons are returning parolees.³ They remain in prison on average 3.8 months before being returned to parole supervision.

The costs associated with parolees' return to the state prison system are staggering, estimated to be \$900 million per year in California. Perhaps even more important is the non-financial costs related to parolee failure: increased victimization.

¹ Hughes & Wilson, 2003.

² Some offenders are returned multiple times. This number therefore reflects admissions rather than parolees.

³ Grattet, Petersilia, & J Lin, 2008.

Better Results are Possible through Evidence-Based Practices

Over the past two decades a large body of criminal justice research, commonly referred to as “what works,” or “evidence-based practices,” has emerged. Its promise is to stem the tide of offender recidivism, thereby increasing public safety and reducing victimization. This promise is rooted in solid evidence of its effectiveness: **research clearly demonstrates that a notable reduction in recidivism is possible**⁴ if the justice system applies current knowledge⁵ consistently and with fidelity. Moreover, the research also shows that application of this knowledge can produce significant cost benefits to cities, counties, and states across the nation.⁶

Significant Reductions in Failure will Require Significant Changes in Approach

The Parole Reform Task Force’s efforts have resulted in a set of recommended changes that are nothing short of sweeping. In developing these, a new vision of parole supervision has emerged. It is presented in this report in sections. It examines:

IN SECTION 1: INTRODUCTION, the core evidence-based practices upon which many of the proposed changes are based;

IN SECTION 2: PRE-RELEASE PLANNING, those activities that should occur during inmates’ incarceration and as preparation for release;

IN SECTION 3: CASE MANAGEMENT, a new process (that builds on existing practices) whereby empirically-based research tools would be used to determine the likelihood a particular offender will recidivate, the risk factors that must be effectively addressed to reduce that likelihood, and a set of strategies to address those risk factors in an ongoing fashion;

IN SECTION 4: CASE CONFERENCE, a new process of collaborative monitoring of cases between parole agents and supervisors, to ensure ongoing problem solving and adjustments to case plans and supervision monitoring levels as progress is made or new risk conditions emerge;

IN SECTION 5: SUPERVISION MODEL AND QUALITY OF CONTACTS, a new approach to the monitoring of parolees and the interaction between parole agent and parolee;

IN SECTION 6: AGENT WORKLOAD EQUITY, defines maximum caseload assignments, based upon parolees’ risk level assessments, to ensure that agents have sufficient time to devote to case management activities;

IN SECTION 7: PROGRAMMING, a placeholder has been created so that in the next phase of DAPO’s efforts, the critical issue of instituting research-based, risk reducing programming – both within California’s prisons and in the community – can be effectively addressed; **without this critical**

⁴ See Andrews et al., 1990; Andrews & Bonta, 1998; Landenberger & Lipsey, 2005; McGuire, 2002 & 2001.

⁵ Current knowledge refers to information regarding offender risk, dynamic risk factors (i.e., criminogenic needs), applying interventions appropriately, and utilizing specific tools and techniques.

⁶ Aos, Miller, & Drake, 2006b; see Section 3 for additional information.

component, the risk reduction potential discussed throughout this report cannot be realized;

IN SECTION 8: REWARDS AND INCENTIVES, a new, literature-supported approach is proposed to formally incentivize and reward parolees' pro-social behaviors;

IN SECTION 9: DISCHARGE CONSIDERATION, a method to objectively assess parolees' progress on parole supervision is proposed, along with criteria for consideration for discharge for those parolees who demonstrate successful community adjustment; and

IN SECTION 10: INTERIM IMPLEMENTATION PLAN, a process for transitioning from current practices to those proposed in this report is offered.

Within each of these sections, the Parole Reform Task Force first offers a clear policy statement in each of these areas. These are designed to explicitly express the intent of the policies proposed. These are followed by a summary of the research that supports the proposal.⁷ Each section also outlines key implementation issues associated with the proposed policies, the resources that will be required to support implementation, and an implementation timeline. As importantly, a set of quality assurance and performance measures associated with each section is offered to assure that implementation occurs as planned and outcomes are achieved as anticipated. The appendix of this report includes important, additional information including a review of the needed quality assurance and performance measurement systems, a combined timeline, and new forms and tools to support implementation of the proposed changes.

Ensuring the Success of the Reform Efforts

Amidst these proposed changes, most significant among them is the change in organizational culture and philosophy that will make them possible. The contemporary literature demonstrates that risk reduction is possible, but to achieve these reductions, agents' approaches, strategies and tools must be aligned with the research. The evidence is clear, for example, that the degree of intervention with parolees influences outcomes; when the degree of intervention is not matched to parolees' risk profile, the risk reduction potential is not achieved. Similarly, research demonstrates that the interaction approach of parole agents, meaning the techniques and strategies employed, also impact offender outcomes: while some strategies are extremely effective in positively shaping offender behavior, others have the opposite effect. Emerging evidence also suggests that the focus of parole agent-parolee discussions in one-on-one sessions can influence, either positively or negatively, recidivism. These are but a few of the significant research findings. Their integration into day-to-day practice requires new knowledge and skills for parole agents, and new oversight and quality

⁷ Although there have been significant advances in research in the past two decades, there is still much to be learned about risk reduction. Where research is lacking, emerging practices in other jurisdictions support the proposals.

assurance strategies for managers. In short, to be successful, these reform efforts will require a fundamental retooling of the workforce. Insufficient attention paid to training, quality assurance and performance measurement will result in less than optimal results.

Finally, the Parole Reform Task Force strongly urges that the recommendations contained in this report be implemented in such a way as to maximize their opportunity for success. We suggest beginning with a pilot testing process that is carefully planned, deliberately carried out and carefully studied, and that sufficient time is allotted to allow for mid-course corrections as experience dictates.

DRAFT

BACKDROP: DIVISION OF ADULT PAROLE OPERATIONS

MISSION AND VALUES

Mission Statement

The mission of the Division of Adult Parole Operations (DAPO) is to protect the public and assist parolees in their reintegration into society.

Values Statement

We serve, protect, and are responsible to the public. We will...

- Protect the community.
- Strive for the public's trust and respect.
- Exercise our power and authority judiciously.
- Conduct ourselves in a manner above reproach with honesty, integrity, and respect for others.
- Use public funds and property in the most prudent and cost-effective manner.

We value professional excellence and a supportive atmosphere in which staff is encouraged to realize their potential. We will...

- Commit to the treatment of all people with dignity and respect.
- Further professional development through training and education.
- Pledge ourselves to the highest standards of staff safety and competency.
- Encourage and reward creativity, constructive criticism, teamwork, and responsible risk taking.
- Maintain a healthy attitude through compassion and humor.

We accept the challenges of leadership. We will...

- Articulate a clear vision for parole.
- Communicate the importance of our work by consistently and boldly presenting our mission.
- Be ethical, responsible, and responsive leaders and expect the same from those who lead us.
- Lead by example, cognizant of our responsibility as role models.
- Demonstrate a passion for parole work.
- Maintain flexibility and the ability to adapt to change.

- Acknowledge our role in the criminal justice system and commit to the development of a partnership with other departmental divisions, outside agencies, and the community.

We believe that parolees are ultimately accountable for the quality of their lives and are capable of change. We will...

- Provide a range of resources and services to offer the opportunity for change.
- Encourage and assist parolees in their effort to reintegrate into the community.
- Impose sanctions and/or incarcerate parolees who engage in serious misconduct.
- View crisis situations as opportunities to exert positive influence on parolee values and behavior.

We believe that public safety is best served through a partnership between parole staff and the community. We will...

- Enable Parole Agents to be an active part of the community's public safety plans.
- Work with our communities as partners in public safety, public service, and offender reintegration.
- Acknowledge the unique character of the communities in which we work.
- Encourage staff to become involved with community agencies, to share resources, and obtain services for parolees.
- Encourage and welcome the participation of volunteers in our work.
- Respect the rights of crime victims, provide them with access to appropriate information, and obtain their input when establishing parole plans.

We believe that organizational review and self-examination are critical to our effectiveness. We will...

- Hold ourselves accountable by setting standards of performance and consistently applying these standards.
- Be proactive in our efforts to review our effectiveness and efficiency.
- Involve staff in the development of programs, processes, and procedures.
- Encourage risk taking, learn from our mistakes, and demonstrate strong support for our staff.
- Incorporate technological advances into our systems for service delivery.

SECTION 1: INTRODUCTION

Parole Reform in California

California is home to the largest correctional system and parole population in the country, with approximately 125,000 offenders currently under parole supervision. The number of parolees in the state has grown exponentially in the last two decades, a situation which has drawn the concerned attention of the state's corrections officials, Governor, and legislature.

Recent legislation (Penal Code Section 3000.03) will result in significant changes in parole operations effective January 2010. The most significant among these will result in increased levels of supervision afforded to parolees deemed at higher risk to reoffend. To accommodate the demand for increased supervision of selected cases, Parole Agent caseloads will be reduced through a combined strategy of additional (personnel years) PY's and reduced supervision of parolees assessed to be at lower risk to reoffend.

In keeping with its mission to enhance public safety and reduce the likelihood of reoffense among offenders on parole supervision, the Division of Adult Parole Operations (hereafter, DAPO) has taken this opportunity to reexamine DAPO policies and practices. Current operations have been examined in light of contemporary research regarding the most effective strategies to reduce offender misconduct and recidivism (i.e., "evidence-based practices," hereafter, EBP).

In October 2009, DAPO established the Parole Reform Task Force (PRTF). The PRTF is comprised of two Co-Chairs and seventeen members representing DAPO Headquarters and all four parole regions (Regions I-IV). Its members consist of staff from all of the agency's key offender supervision functions (Parole Agents 1, 2, and 3; Parole Administrators; Deputy Regional Administrators; and Regional Administrators).

The PRTF met weekly between mid-October 2009 and early January 2010 to consider research finding related to offender management and risk reduction; consider approaches to offender management and parole supervision used in other jurisdictions; and, in light of these, reexamine DAPO's policies and procedures. This plan, the California Parole Supervision and Reintegration Model (CPSRM), is the result of those efforts.

The Parole Reform Task Force

Special thanks are owed to the following individuals who served on the Parole Reform Task Force:

- Capril Anderson, Co-Chair, Regional Parole Administrator, Region III
- John Heise, Co-Chair, Deputy Regional Parole Administrator, Region I
- Ed Achziger, Parole Agent 3, Region II
- Rodney Armstrong, Parole Administrator, Region I
- John Fields, Parole Agent 2, Headquarters
- Enrique Gonzalez, Parole Agent 3, Region III
- Matthew Goughnour, Parole Administrator, Region II
- Penny Livingston, Parole Agent 3, Region IV
- Arthur Lopez, Parole Agent 1, Region II
- David Macilvaine, Parole Agent 2, Region I
- Rodney McElvaine, Parole Agent 1, Region III
- Susan Morris, Parole Agent 3, Headquarters
- Timothy Putt, Parole Agent 1, Region IV
- Tom Schulte, Parole Agent 3, Headquarters
- Nancy Sears, Parole Agent 3, Region I
- Melinda Silva, Parole Agent 1, Region I
- James Symington, Parole Administrator, Region III
- Craig Toni, Parole Agent 3, Parole Agent Academy
- Regina Whitaker, Parole Agent 3, Headquarters

The Task Force was assisted by two consultants who provided both process and subject matter expertise:

- Madeline Carter, Principal, Center for Effective Public Policy
- Mark Carey, President, The Carey Group

The Rationale for Adopting Evidence-Based Approaches in Correctional Practice

According to the U.S. Department of Justice, Bureau of Justice Statistics, 67% of individuals released from prison are rearrested within three years of discharge. An estimated 30% of those supervised in the community are reconvicted for a new crime. Despite changes in laws, sentencing practices, and intervention approaches, these recidivism rates have remained relatively stable for decades.⁸

However, research over the past two decades demonstrates that a reduction in recidivism is possible⁹ if current knowledge—“evidence-based practices”—is applied with fidelity. No longer is the challenge understanding *what* we need to do to positively influence offender behavior; instead, the challenge is *doing it*. Practically speaking, adopting an evidence-based practices

⁸ Andrews & Bonta, 1998; Hughes & Wilson, 2003.

⁹ See Andrews & Bonta, 1998.

approach in 2010 means adopting fundamentally new approaches to the management of offenders—moving beyond approaches once believed effective but recently demonstrated through research to offer results that are disappointing at best.

Key Research Findings

The evidence from the research over the last two decades is clear and compelling regarding recidivism reduction. While there are hundreds of studies relevant to effective offender management, the research conclusions listed in Exhibit 1, *Core EBP Findings*, are perhaps among the most clear and fundamental to the work performed by corrections professionals and their partners aimed at reducing the likelihood that offenders released from prison will reoffend in the future. They form the basis of the California Parole Supervision and Reintegration Model.

EXHIBIT 1: CORE EBP FINDINGS

Finding	Examples of Implications for Parole
<ul style="list-style-type: none"> ➤ Services should be targeted to those offenders who are assessed as medium or high risk to reoffend. Offenders who are at low risk to reoffend are unlikely to benefit from a correctional intervention designed to change their behavior. (Andrews, 2007; Andrews & Bonta, 2007; Andrews, Bonta, & Wormith, 2006; Andrews & Dowden, 2007; Andrews, Dowden, & Gendreau, 1999; Bonta, 2007; Dowden, 1998; Gendreau, Goggin, & Little, 1996; Lipsey & Cullen, 2007) 	<ul style="list-style-type: none"> ➤ Assess the risk level of offenders to determine who (i.e., medium and high risk) should get services, and the length and intensity of those services.
<ul style="list-style-type: none"> ➤ Low risk offenders tend to recidivate at higher rates when services/interventions are over-delivered. (Andrews & Bonta, 2007; Cullen & Gendreau, 2000; Gendreau, Goggin, Cullen, & Andrews, 2001; Lowenkamp & Latessa, 2004; Lowenkamp, Latessa, & Holsinger, 2006) 	<ul style="list-style-type: none"> ➤ Give low risk offenders stabilization services (e.g., housing, medical, transportation) rather than those that target behavioral change.
<ul style="list-style-type: none"> ➤ Offenders who are at extremely high risk might be able to benefit from an intervention; however, the length of time and intensity of the intervention will likely exceed the resource capacity of most agencies. (Skeem, 2008; Skeem, Polascheck, & Manchak, 2009; Stewart & Smith, 2007; Wojciechowski, 2002) 	<ul style="list-style-type: none"> ➤ Target interventions to medium and high (rather than low and extremely high) risk offenders.
<ul style="list-style-type: none"> ➤ Empirically-based assessment tools provide a more accurate statistical probability of reoffense than professional judgment alone. (Andrews & Bonta, 1998; Andrews et al., 1990; Gendreau et al., 1996; Grove et al., 2000; Grove & Meehl, 1996) 	<ul style="list-style-type: none"> ➤ Administer an empirically-based risk assessment tool.

<ul style="list-style-type: none"> ➤ Risk of recidivism is greatly reduced when attention is paid to criminogenic needs (dynamic risk factors) such as antisocial attitudes, beliefs and values, antisocial peers, and certain personality and temperamental factors. There is a clear association between the number of criminogenic needs targeted and reduced recidivism; the higher the number of needs targeted, the lower the rate of recidivism. (Andrews, 2007; Andrews et al., 1990) 	<ul style="list-style-type: none"> ➤ Use assessment instruments to identify offenders' individual criminogenic needs. ➤ Train staff to understand criminogenic needs and how to effectively address these in case management planning. ➤ Have available programs and services to address the full range of criminogenic needs. ➤ Direct, through policy, that staff address the top three (or more) criminogenic needs in case management planning. ➤ Match offenders' programming and services to their assessed criminogenic needs.
<ul style="list-style-type: none"> ➤ The most impactful programs aimed at changing criminal behavior and reducing recidivism are cognitive-behavioral and behavioral interventions. (Andrews, 2007; Aos, Miller, & Drake, 2006a; Landenberger & Lipsey, 2005; Lipsey & Landenberger, 2006; Lipsey, Landenberger & Wilson, 2007) 	<ul style="list-style-type: none"> ➤ Have available cognitive behavioral programs for the medium and high risk offenders.
<ul style="list-style-type: none"> ➤ The use of incentives can be a powerful tool to enhance individual motivation in meeting case plan goals and for promoting positive behavioral change. (Andrews and Bonta, 2006; Cullen & Gendreau, 2000; Drake & Barnoski, 2008; Latessa, Cullen, & Gendreau, 2002; National Research Council, 2007; Petersilia, 2007; Petersilia, 2004; Taxman, Soule, & Gelb, 1999) 	<ul style="list-style-type: none"> ➤ Develop policies around rewards that staff can use to encourage pro-social behavior (such as letters of affirmation, reduced reporting requirements, and early termination).
<ul style="list-style-type: none"> ➤ Graduated sanctions (i.e., sanctions that increase in severity based on the nature or number of violations) decrease recidivism. (Andrews & Janes, 2006; Burke, 2004; Harrell et al., 2003; Hay, 2001; Taxman, Soule, & Gelb, 1999; Taylor & Martin, 2006) 	<ul style="list-style-type: none"> ➤ Develop a violation decision-making guideline that takes into account the risk of the offender and the severity of the violation behavior.
<ul style="list-style-type: none"> ➤ The quality of the interpersonal relationship between staff and the offender, along with the skills of staff, may be as or more important to risk reduction than the specific programs in which offenders participate. (Andrews, 2007; Andrews, 1980; Andrews & Bonta, 1998; Andrews & Carvell, 1998; Dowden & Andrews, 2004) 	<ul style="list-style-type: none"> ➤ Train staff in core correctional practices that include relationship building and skill practice with offenders.
<ul style="list-style-type: none"> ➤ Risk of recidivism is highest in the initial weeks and months following release from prison; recidivism rates stabilize in years two and three. (National Resource Council, 2007) 	<ul style="list-style-type: none"> ➤ Front load supervision and support services for reentering offenders, providing more intensive services initially, and then diminishing the intensity over time as offenders' behavior dictates.

Systemic Changes

The Task Force advances the proposals in this plan with a degree of caution. Many of our proposals reflect significant, systemic change in current DAPO policy and practice. In order to present our recommendations in the most straightforward manner possible, our recommendations are presented under major headings in separate sections. The risk to this approach is to give the impression that each set of recommendations is separate and apart from the others. This is indeed not the case. Taken in whole – rather than in its individual parts – this plan suggests a number of significant changes that cut across multiple activities and job functions. To this end, this plan represents a sweeping but strategic restructuring of current DAPO operations. Examples of these cross-cutting changes include but are not limited to the following:

- **The establishment of an offender management system that is assessment-driven, individually-tailored and seamless.** Research demonstrates, and this plan proposes, that: offenders will be assessed, using empirically-based tools, to determine their likelihood for reoffense; individual risk factors influencing offenders' likelihood to reoffend will be identified; interventions will be delivered commensurate to assessed level of risk; and offenders criminogenic needs will be addressed through a seamless system of behavioral interventions and treatment strategies. Accomplishment of this will require, among other things: educating the workforce on the administration, interpretation and use of assessment tools; identification of risk factors; methods to effectively address risk factors; and creation of a system of interventions that begin in prison and continue seamlessly in the community.
- **The use of a single case management plan that is initially developed with offenders while they are in prison, transitions with them to parole supervision, and serves as a dynamic strategy for positive change.** The proposed process restructures the approach all staff will use in working with offenders. Offenders' will become integral to the development of individually-tailored Case Plans; pre-release programming will address identified criminogenic needs; Parole Agents will become engaged in working with offenders on their Case Plans prior to release; supervision will be focused on the risk reduction strategies contained in the Case Plan; ongoing feedback – both affirming and redirecting – will be provided to offenders as they achieve or fall short of their Case Plan goals; and offender progress will be assessed based upon achievement of goals contained in the Case Plan. Accomplishment of this will require, among other things: recasting the role of offenders in the case planning process; skill training staff in motivational interviewing and offender engagement techniques; modifying the automated Case Plan; linking institutional and parole supervision staff to assure a seamless “hand-off” of cases; refocusing agents' supervision efforts on criminogenic need areas; assuring sufficient time for agents to use contact time towards risk reduction goals; modifying documentation procedures to indicate

the extent to which criminogenic needs are addressed in one-on-one sessions; revamping current methods to assess offenders' progress.

- **The use of a differential, individually-tailored approach to supervision.** Such an approach links supervision conditions to assessed risk factors; places the emphasis of agent-offender interactions on risk factors rather than standardized conditions of release; adjusts supervision intensity to level of risk; and matches caseload capacity limits to these differential supervision expectations. Accomplishment of this will require: recategorization of offenders for purposes of supervision intensity based upon risk level; realignment of caseloads to assure sufficient contact time for high and moderate risk offenders; redefining expectations for office and field contacts; revised methods for evaluating agents' performance.
- **The need to provide training and coaching to ensure that staff have the necessary information, and requisite knowledge and skills, to carry out these new responsibilities.** Research demonstrates that professionals can have a significant influence on offender outcomes. Knowledge about EBP and skills in core correctional practices and effective behavioral intervention techniques are critically important for our risk reduction goals to be realized. Accomplishment of this will require: initial information dissemination and skill-based training for agents and supervisors; structured follow up to assess the competencies of staff in core skill areas; and coaching and booster training sessions to build and reinforce new skills.
- **The establishment of quality assurance protocols and ongoing performance measurement to ensure that policy and practice changes are implemented with fidelity and the outcomes desired are achieved.** Organizational change is not easy, nor is it always successful. According to Rogers, Wellins, and Connor in their book, *The Power of Realization: Building Competitive Advantage by Maximizing Human Resource Initiatives*,¹⁰ up to 85% of organizational change initiatives fail and approximately 70% of these failures are due to flawed execution. Establishment of quality assurance measures will guard against flawed execution, or at the very least reveal it in sufficient time to address and correct it. Establishment of a performance measurement system, linked to the goals and strategies in this plan, will enable DAPO to evaluate the extent to which these efforts result in the improved offender outcomes.
 - With regard to the performance measures contained in this plan, it should be understood that new processes and operational practices take time to implement with fidelity. Implementation of strategies as sweeping as those contained in this plan cannot occur simultaneously, nor can the needed training and coaching of staff. Further, unanticipated implementation challenges will undoubtedly result in at least minor modifications. For these reasons, the

¹⁰ Rogers, Wellins, & Connor, 2002.

performance measurement expectations should be tempered and adjusted downward in year one of implementation.

DRAFT

SECTION 2: PRE-RELEASE PLANNING

POLICY STATEMENT: The Division of Adult Parole Operations (DAPO) will utilize effective assessment, case planning and intervention methods to identify and address the criminogenic needs of each offender subject to active parole prior to initial release (new commitments/parole violators with new term).

RESEARCH SUPPORT

- Higher risk offenders are more likely to recidivate than lower risk offenders, thereby requiring – and benefiting from – more intensive services such as pre-release planning and programming.¹¹
- In order to reduce the likelihood of rearrest, offenders' criminogenic needs should be targeted for programming.¹²
- Offenders who are supervised using Case Plans that are developed based upon the risk, need, and responsivity principles are more likely to gain risk reduction benefits.¹³
- In order to maximize risk reduction effects, responsivity concerns must be addressed in addition to criminogenic needs.¹⁴
- Research demonstrates that family support can positively impact intermediate reentry outcomes – such as avoiding drug and alcohol abuse or finding employment – as well as lowering recidivism.¹⁵
- A study conducted in Multnomah, Oregon, revealed that upon initiation of strategic in-reach by agents to releasing offenders, failure to appear rates dropped from approximately 20% to less than 4%.¹⁶
- Both in-prison and community-based drug and cognitive-behavioral treatment decrease recidivism outcomes (as well as provide a cost-savings).¹⁷

¹¹ See Lowenkamp & Latessa, 2004; Lowenkamp, Latessa, & Holsinger, 2006.

¹² See Andrews et al., 1990.

¹³ See Taxman, 2008.

¹⁴ See Cullen & Gendreau, 2000.

¹⁵ See Hairston, 2002; La Vigne, Visher, & Castro, 2004; Naser & Visher, 2006; Nelson, Dees, & Allen, 1999; Quinn & Van Dyke, 2004; Vera Institute of Justice, 2002; Visher, Kachnowski, La Vigne & Travis, 2004.

¹⁶ Written correspondence with Scott Taylor, DCJ Director, Multnomah County, Oregon, November 4, 2009.

¹⁷ See Aos, Miller, & Drake, 2006b.

- Offenders who complete substance abuse treatment in prison and in the community exhibit lower recidivism outcomes (35% within 2 years) than offenders who only complete in-prison treatment (49% within 2 years), and the general population (54% within 2 years).¹⁸

KEY IMPLEMENTATION ISSUES

- Assessment:
 - Parole Planning and Placement (PPP) staff will continue to initiate the case assessment at 240 days prior to initial release from custody. This process shall become mandatory for all offenders who meet PPP criteria and failure to participate may result in disciplinary action.
 - DAPO will identify those parolees who have been identified as presenting high risk to violence by the California Static Risk Assessment (CSRA) as being the highest risk group according to this tool.
 - High Violence parolees will be designated with a CSRA numerical value of 5. These parolees shall be released from custody in accordance with Policies 08-28 and 09-08 and required to report pursuant to Penal Code Section 3060.7.
 - High Property parolees will be designated with a CSRA numerical value of 4.
 - High Drug parolees will continue to be designated with a numerical value of 3.
- Case Planning:
 - PPP staff will continue to generate the Case Plan no later than 120 days prior to release.
 - The Community Based Social Worker (CBSW) will work collaboratively with the PPP, PA2 and AOR and may modify the case plan.
 - PPP staff will provide the offender with a copy of the Case Plan prior to release.
 - CDCR staff will provide pre-release orientation to offenders, focusing on parole expectations and community resources.
- Release Preparation:
 - The Agent of Record (AOR) will verify the proposed residence in person.
 - The AOR will complete the CDCR 1515, Notice and Conditions of Parole, with recommendations of additional Special Conditions of Parole based on the offender's commitment offense, criminal history, Penal Code requirements, DAPO expectations, and criminogenic needs.
 - The AOR will complete the CDCR Form 611, Release Program Study and CDCR Form 1659A, Parole Assessment, for those parolees who are not assessed with a Case

¹⁸ See CDCR, 2009.

Plan. All information that is currently provided on the CDCR Form 611 shall be relocated to the Case Plan.

QUALITY ASSURANCE PROCESS

- Pre-release orientation classes will be assessed annually using the CPC Checklist.
- Pre-release orientation classes will receive a satisfactory score on the CPC Checklist, to be administered annually.
- *See the case management and supervision policy statement for Case Plan quality assurance processes.*

RESOURCES REQUIRED

- A curriculum (that addresses criminogenic needs and is based upon research) needs to be developed for the mandatory pre-release class.
 - Designation of the skills and qualifications of its trainers needs to be included.
 - Successful completion of this class needs to be specifically defined.
- The Case Plan is currently being modified to include assessment results (criminogenic needs); the offender's strengths; Case Plan goals; action items to meet those goals (including timelines); triggers; and responsivity factors. These changes to the Case Plan are essential to this and other proposed policy reforms.
- The PPP database needs to be modified to include the conditions of parole, parole plan, Case Plan, reporting instructions, registration requirements, notification requirements, CSRA score (smart forms with drop down menus and ability to electronically sign).
- The Case Plan also needs to be modified so that when it prints out, it reflects that the offender received a copy.
- The Case Plan signature blocks need to be modified: Offender, Parole Agent and Unit Supervisor needs to replace the current titles (Case Manager and Client).
- Staffing is needed to teach pre-release orientation.

TIMELINE

TIME PERIOD	ACTIVITY
January 2010	Amend Policies 08-28 and 09-08 to reflect change in highest risk to public safety (High Risk of Violence is the highest risk category in CSRA).
September 2010	Modify signature blocks and amend Case Plan to include the conditions of parole, parole plan, reporting instructions, registration requirements, notification requirements, and CSRA score (smart forms with drop down menus and ability to electronically sign).
November 2010	Develop Case Plan lesson plans and curriculum for field staff.
December 2010	Identify staff to instruct classes on case planning.

December 2010	Develop pre-release orientation curriculum and identify instructors.
February 2011	Develop lesson plans and curriculum for field staff; identify and train Master Trainers for each region.
April 2011	Train all staff.
June 2011	Begin implementation.

PERFORMANCE MEASUREMENT CRITERIA

- 95% of parolees identified as high risk will be assessed to one of three categories (5, 4, 3) using the CSRA.
- 85% of the parolees will have a case assessment initiated at 240 days prior to initial release from custody.
- 80% of parolees will have a Case Plan completed no later than 120 days prior to release by PPP.
- 80% of parolees will receive a copy of their Case Plan prior to release as documented in the Case Plan.
- 90% of parolees released on supervision to DAPO will have been referred to pre-release orientation.
- 80% of parolees who are referred to the pre-release orientation will complete the orientation successfully.
- 90% of the parole plans will include conditions of parole, the Case Plan, reporting instructions, registration requirements, notification requirements, and the CSRA score.
- 90% of special need parolees will have a Case Plan completed no later than 15 days prior to release by CBSW.
- 90% of parolees will have their residence verified in person by the AOR prior to release.
- 90% of parolees will have the Pre-Parole Residence Verification form completed comprehensively by the AOR.

SECTION 3: CASE MANAGEMENT

POLICY STATEMENT: DAPO will utilize a comprehensive Case Plan to address parolees' criminogenic needs and to guide Parole Agent interventions.

RESEARCH SUPPORT

- Offenders who are supervised using Case Plans that are developed based upon the risk, need, and responsivity principles are more likely to gain risk reduction benefits.¹⁹
- In order to reduce the likelihood of rearrest, offenders' criminogenic needs should be targeted for programming.²⁰
- The most effective risk reduction outcomes can be achieved when each of the three principles (risk, need, and responsivity) is addressed through supervision.²¹
- Engagement of the offender in his/her own Case Plan increases motivation and follow through, making it more likely that the offender will attend and complete programming.²²
- The supervision contact with the parolee is enhanced when risk/need assessment information is discussed with the offender.²³
- Effective supervision practices reduce rearrest rates. These practices include role modeling, reinforcement of pro-social attitudes, discouragement of antisocial behavior, use of practice sessions, giving homework, and attending to relapse prevention.²⁴
- Although not yet demonstrated empirically, best practice in corrections is to establish a seamless system of case management to ensure continuity of care – from the point of incarceration to release from supervision – and uninterrupted information flow between professionals working with offenders throughout the criminal justice system.

KEY IMPLEMENTATION ISSUES

- Create consolidated lesson plans for criminogenic needs, motivational interviewing, behavioral change techniques, effective agent-parolee interactions, responsivity, triggers, writing of case goals and effective documentation of agent-parolee interactions in Record of Supervision (ROS).

¹⁹ See Taxman, 2008.

²⁰ See Andrews et al., 1990.

²¹ See Gendreau, French, & Taylor, 2002.

²² See Dowden & Andrews, 2004; Miller & Rollnick, 2002.

²³ See Taxman, Shepardson, & Byrne, 2004; Taxman, Yancey, & Bilanin, 2006.

²⁴ See Bonta et al., 2008.

- Train agents on identifying and building upon offenders' strengths; addressing criminogenic needs; motivational interviewing and behavioral change techniques; effective agent-parolee interactions; addressing responsivity factors; identifying and addressing triggers; writing Case Plan goals; and effective documentation of agent-parolee interactions in ROS.
 - *Note: Case plans will identify specific goals that address offenders' criminogenic needs, and specific, measurable, behavior-oriented strategies to address those needs. They are jointly developed between the Parole Agent and the offender.*
 - *Note: COMPAS has a drop down menu that links specific programs to specific criminogenic needs.*
- Obtain authorization to provide Parole Agents the ability and permission to modify Case Plans.
- Train agents to create, review, utilize, and modify Case Plans.
- Modify the Case Plan to include reporting instructions, special conditions of parole, supervision level, responsivity, triggers, proposed residence, and parole plan to reduce redundancy.

QUALITY ASSURANCE PROCESS

- A Case Plan audit will be conducted (using the Case Plan Audit Checklist) to ensure that Case Plans satisfactorily contain the following key components: identification of assessed level of risk and criminogenic needs; identification and consideration of responsivity factors; identification of triggers; alignment of intensity of supervision to assessed level of risk; alignment of criminogenic needs to interventions; case goals written in accordance with DAPO policy guidelines; evidence that the Case Plan is dynamic, continually reviewed and updated by parolee/Parole Agent as progress is made/new issues arise.
- A direct observation will be conducted at least annually to determine Parole Agents' consistent and effective use of case management, Motivational Interviewing techniques, and core correctional practices.

RESOURCES REQUIRED

- Write a consolidated lesson plan to include Motivational Interviewing, Criminogenic Needs, and Case Plan Procedures.
- Determine schedule and locations to train Parole Administrators, Parole Agents, Parole Service Associates and field training officers.
- Obtain permissions from Enterprise Information Systems to allow Parole Agents to edit Case Plans.
- Place a training guide on the Intranet.
- Place a tutorial on the Internet relative to the use of Case Plans (refresher).

- Obtain funding to allow vendor to modify current program to include reporting instructions, special conditions of parole, supervision level, proposed residence, and parole plan to reduce redundancy (move away from CDCR Form 1659).

TIMELINE

TIME PERIOD	ACTIVITY
February 2010	Create a consolidated lesson plan for criminogenic needs and case planning.
March 2010	Initiate training in Regions II, III, IV on Motivational Interviewing (Region I has already been trained).
March 2010	Master train supervisors and administrators.
March 2010	Train Region I and III Peace Officer and Parole Service Associate staff on Motivational Interviewing, criminogenic needs, and case planning process.
April 2010	Train Region II and IV Peace Officer and Parole Service Associate staff on Motivational Interviewing, criminogenic needs, and case planning process.
May 2010	Training fully implemented and added to the academy curriculum.
June 2010	Remediation as needed.

PERFORMANCE MEASUREMENT CRITERIA

- 90% of parolees' supervision will be guided by the parole plan as documented in the case notes (ROS) by the Parole Agent.
- 100% of completed Case Plans will demonstrate evidence that the plan was reviewed by the parolee and Parole Agent together.
- 80% of the completed Case Plans will address, at a minimum, each offender's top three criminogenic needs.
- 85% of the Case Plans will be modified whenever there is a change in the parolees' circumstances that would dictate a need to alter the Case Plan activities or timelines.

SECTION 4: CASE CONFERENCE

POLICY STATEMENT: DAPO will utilize a case conference process to review parolees' criminogenic needs and to guide Parole Agent interventions.

RESEARCH SUPPORT

- Although the efficacy of collaborative case management is yet to be demonstrated through research in the field of adult corrections, best practice in adult corrections is to establish structured methods that provide opportunities for peer-to-peer and Parole Agent-to-Unit Supervisor dialogue regarding the ongoing management of supervision cases.

KEY IMPLEMENTATION ISSUES

- A case conference process will be established to provide an opportunity for ongoing, comprehensive review of each parolee's progress on supervision. Case conferencing will provide an opportunity for the Agent of Record (AOR) and others to discuss modifications to parolees' supervision and case management plans as may be needed, and to otherwise make modifications to the management of parolees' cases. This process will provide an opportunity for Parole Agents, supervisors and others to, among other things:
 - Review and modify, as needed, strategies for working with individual offenders;
 - Change category designations (i.e., movement to higher or lower categories); and
 - Consider cases for discharge.
- Timing of Case Conferences:
 - Case plans will be reviewed during the case conference with the Unit Supervisor no later than 60 days following initial release, revocation release, or reinstatement with time loss.
 - Case conferences will be conducted annually following initial release, revocation release, or reinstatement with time loss until the maximum statutory period of parole has expired.
 - In addition, a case conference can occur upon the request of the Agent of Record or at the direction of the Unit Supervisor.
- Initial Case Conference Participants:
 - The following individuals shall be included in the initial case conference: Unit Supervisor (US) and Agent of Record (AOR). The District Administrator (DA), Parole Outpatient Clinic (POC) Clinician and parolee support networks may also be included. The parolee shall be notified for the 60 day case conferences only, but may choose not to attend.

- Subsequent Case Conference Participants:
 - Case conferences (subsequent to the initial case conference) that are initiated by the US or AOR may be convened with the participation of only the US and AOR.
- Initial and Subsequent Case Conferences:
 - During the 60 Day Case Conference, the parolee's supervision category shall be modified from the Transition Phase to either Category A, B, C or D, based on individual case factors (i.e., risk level) and criminogenic needs. This category change shall become effective on the first day of the following month.
 - Subsequent case conferences may be conducted at the request of the Agent of Record, Assistant Unit Supervisor or Unit Supervisor to discuss modification to parolees' program goals, conditions of parole, supervision level (i.e., reduction or elevation of supervision category).
 - Any subsequent changes to category levels shall be made during case conferences based on individual case factors. Category changes shall become effective on the first day of the following month.
- Each Unit Supervisor shall conduct a caseload staffing to discuss each parolee with each case carrying Parole Agent every calendar month.

QUALITY ASSURANCE PROCESS

- A direct observation of case conferences will be conducted and feedback will be provided regarding the extent to which the interaction is thorough (reviewing the salient issues of the case including but not limited to a review of the parolee's Case Plan, progress towards goals, and supervision history), is balanced (identifying both positive and negative adjustment issues), collaborative (reflecting two-way dialogue rather than one way information sharing or direction giving), and problem solving (reflecting a desire to identify and use techniques that will encourage the parolee's success).

RESOURCES REQUIRED

- Consistent with other sections in the plan, the only resources required to implement the recommendations in the section is training for staff on evidence-based practices, effective offender interactions, and case management and planning.

TIMELINE

- This policy can be implemented immediately.

PERFORMANCE MEASUREMENT CRITERIA

- 90% of the parolees will have a Case Conference within the first 60 days following release.

- 95% of cases that changed categories during supervision will have sufficient and appropriate documentation that the case factors and criminogenic needs warranted a change.

DRAFT

SECTION 5: SUPERVISION MODEL AND QUALITY OF CONTACTS

POLICY STATEMENT: The Division of Adult Parole Operations (DAPO) will utilize differentiated supervision methods that are consistent with the parolee's Case Plan and risk level as determined by the California Static Risk Assessment (CSRA) score and performance on parole.

RESEARCH SUPPORT

- Actuarial-based assessment instruments are significantly more reliable than professional judgment alone in predicting reoffense.²⁵
- The level of intensity of supervision and risk reducing interventions should align with offenders' assessed risk level.²⁶
- The period of time immediately following release from prison is a particularly high-risk time for offenders; as a result, services should be frontloaded.²⁷
- The quality of agent-parolee relationships contributes substantially to the effectiveness of supervision. Some of these qualities include mutual respect, openness, attentiveness, structure and support, warmth and empathy, genuineness, and flexibility.²⁸

KEY IMPLEMENTATION ISSUES

- Supervision Categories:
 - All required supervision contacts and all supervision expectations shall be accomplished within each calendar month. However, if the parolee is released after the 20th of the month, only an initial interview (within two working days of release) and initial home visit (within six working days of release) shall be conducted during the month of release from custody.
 - The initial interview shall be completed within two working days of release.
 - The comprehensive initial interview by the Agent of Record will be conducted within 15 working days of release.

²⁵ See Grove & Meehl, 1996.

²⁶ See Andrews & Bonta, 2007.

²⁷ See Solomon et al., 2008.

²⁸ See Dowden, & Andrews, 2004.

- The initial home visit may be scheduled and shall be completed within six working days following release from custody.
- The case contact specifications shall be based on the Supervision Categories Contact Schedule. (See Supervision Categories Contact Schedule, below).
- Movement within categories will be based upon objective criteria. (See Movement Between Categories, below).
- Supervision Categories Contact Schedule:
 - Transition Phase (The initial period following each parolee's release and prior to the 60 Day Case Conference.)
 - One unannounced home visit per calendar month.
 - One significant collateral contact per calendar month.
 - One resource contact related to criminogenic need per calendar month.
 - One random and unscheduled anti-narcotic test per calendar month, if required.
 - Obtain a copy of the parolee's Monthly Goals Report and note their progress in the Record of Supervision (ROS) (not required during the month of release).
 - Additional face-to-face contact, which may be scheduled, such as:
 - Conduct team compliance search.
 - Facilitate group and/or programming related to criminogenic needs.
 - Participate in community meetings.
 - Contact at the residence, employment or other field contact.
 - Category A (Reserved primarily for high violence, high property and high drug parolees along with enhanced out-patient program parolees, lifers, and Civil Addict parolees.)
 - One unannounced home visit every calendar month.
 - One significant collateral contact or resource contact per calendar month.
 - One random and unscheduled anti-narcotic test completed per calendar month, if required.
 - Obtain a copy of the parolee's Monthly Goals Report and note their progress in the ROS.
 - Additional face-to-face contact, which may be scheduled such as:
 - Conduct team compliance search.
 - Facilitate group and/or programming related to criminogenic needs.
 - Participate in community meetings.
 - Contact at the residence, employment or other field contact.
 - Category B (Reserved primarily for moderate risk parolees.)
 - One unannounced home visit every calendar month.
 - One random and unscheduled anti-narcotic test completed every other calendar month, if required.
 - One significant collateral contact or resource contact every month.

- Obtain a copy of the parolee's Monthly Goals Report and note their progress in the ROS.
- Category C (Reserved primarily for low risk parolees.)
 - One unannounced home visit every other calendar month.
 - One random and unscheduled anti-narcotic test completed every other calendar month, if required.
 - One significant collateral contact or resource contact every other month.
 - Obtain a copy of the parolee's Monthly Goals Report and note their progress in the ROS.
- Category D (Reserved primarily for parolees in custody, jail based In Custody Drug Treatment Program, Civil Addicts pending court discharge, gravely ill, etc.)
 - One significant collateral contact or resource contact.
 - Additional requirements as determined by Case Plan.
- Face-to-Face Contacts:
 - The following expectations are established regarding face-to-face contacts:
 - Prior to a face-to-face contact, the AOR shall review the parolee's Case Plan, conditions of parole, and Record of Supervision (ROS).
 - This contact is a face-to-face meeting between the Parole Agent and the parolee.
 - The AOR shall make visual, auditory, and other sensory observations of the parolee's environment, residence, employment, treatment program, etc.
 - The AOR shall make a visual assessment of the parolee's appearance, mannerisms, mood and behavior.
 - This contact shall be structured and focused on the individual parolee's criminogenic needs.
 - The agent shall use active listening, motivational interviewing, and role modeling during the contact.
 - The contact shall be of a sufficient duration so that the objectives of the contact can be completed.
 - The agent shall document on the ROS:
 - Date
 - Start and stop time of contact
 - Name of person contacted
 - Observations
 - Brief summary of discussions
 - Instructions given to parolee
 - Agent shall initial after each ROS entry
- Home Contacts:
 - The following expectations are established regarding home contacts:

- Prior to the home contact, the AOR shall review the parolee's Case Plan, conditions of parole, and Record of Supervision.
- The AOR shall make visual, auditory, and other sensory observations of the parolee's environment, residence and surrounding property.
- The AOR shall make a visual assessment of the parolee and any other persons in the immediate environment focusing on their appearance, mannerisms, mood and behaviors.
- The AOR should request to see the parolee's sleeping area.
- The agent shall use active listening, motivational interviewing, and role modeling during the contact.
- The AOR should observe, inquire about and document the following:
 - New vehicles at residence
 - New residents/roommates
 - New construction/additions
 - New potentially aggressive animals
 - Any other notable changes
- The contact shall be of a sufficient duration where the objectives of contact can be completed.
- The agent shall document on the ROS:
 - Date
 - Start and stop time of contact
 - Name of person contacted
 - Observations
 - Brief summary of discussions
 - Instructions given to parolee
 - Agent shall initial after each ROS entry
- Significant Collateral Contacts:
 - Significant collateral contacts are any substantive contacts made/information obtained about a parolee received from a person, by phone, email, mail, or non-departmental databases.
 - The agent shall document on the ROS:
 - Date and time
 - Name of person contacted or data based used
 - Information obtained
 - Brief summary of discussions
 - Agent shall initial after each ROS entry

- Resource Contacts:
 - A resource contact is a contact made with a person, program or resource that addresses any criminogenic or service need of a parolee.
 - The agent shall document on the ROS:
 - Date and time
 - Agency to which referral was made
 - Name of person contacted
 - Contact information
 - Information obtained
 - Brief summary of discussions
 - Agent shall initial after each ROS entry
- Movement Between Categories:
 - Parolees may be moved to a more or less intensive supervision category based upon a review of objective criteria by the Agent of Record and others as described in the Case Conference section of this document.
 - A checklist and objective rating system will be used to consider parolee movement to higher or lower category assignments.
 - Criteria for consideration for movement will include the following:
 - Specific actions taken toward the development of a goal-directed parole Case Plan; specific actions taken to address goals and objectives on the parole Case Plan; achievement of specific goals and objectives contained in the parole Case Plan.
 - Specific actions taken toward or attainment of, a stable (long-term rather than temporary) living environment.
 - Specific actions taken toward, or attainment of, a non-isolated, pro-social living environment that is supportive of the parolee's desire to live a crime-free lifestyle.
 - Specific actions taken and demonstration of a daily structure that is largely or entirely consumed by pro-social activities (work, school, family, pro-social leisure/community activities).
 - Specific actions taken and demonstration of progress towards/establishment of relationships that are both significant (rather than casual) and pro-social.
 - Specific actions taken to meet supervision conditions as evidenced by satisfaction of requirements and absence of violations.
 - Ratings will be accompanied by specific demonstrable behaviors/actions that reflect the rating assigned.
 - Category movement will be considered as follows:

- 6 points: Parolees who receive 6 points should be recommended by the AOR for movement to a less intensive category (from “A” to “B” or from “B” to “C”) unless extenuating circumstances indicate a public safety risk if such a change were instituted. These extenuating circumstances must be fully explained and approved by the Unit Supervisor.
- 7-11 points: Parolees who receive points in this range should be considered for category movement to a less intensive level unless more than one rating of “3” is assigned. Parolees in this point range with more than one “3” rating should be provided clear and specific feedback regarding the behaviors that are expected for movement to a less intensive category.
- 12-17 points: Parolees who receive points in this range should be considered for movement to a more intensive level. Parolees should be provided clear and specific feedback regarding the behaviors that are expected for category movement to occur.
- 18 points: Parolees who receive 18 points who are not already in category “A” should be recommended for movement to a more intensive category.
- Global Positioning System (GPS) may be utilized for parolees who fail to provide an address.

QUALITY ASSURANCE PROCESS

- Note: Effective supervision/agent-parolee interaction techniques are addressed in the *Case Management and Supervision* policy.
- Field observations will be conducted as a means of assessing the effectiveness of field contacts.
- Exit surveys will be conducted with offenders and collaterals to determine the most effective and ineffective aspects of parole supervision.

RESOURCES REQUIRED

- Develop a lesson plan and provide training to all staff to provide programs related to criminogenic needs.
- Identify and train Master Trainers to provide instruction to staff.
- Provide additional GPS units that may be utilized on transient parolees.
- Create a Monthly Goals Report.

TIMELINE

TIME PERIOD	ACTIVITY
December 2009	Create a Monthly Goals Report.
January 2010	Develop policies relative to this section.
July 2010	Implement policy such that GPS can be used on transient parolees.

July 2010	Develop a lesson plan and provide training to all staff to provide programs that address criminogenic needs.
July 2010	Identify and train Master Trainers to provide instruction to staff.

PERFORMANCE MEASUREMENT CRITERIA

- 90% of parolees will have an initial interview within two working days of release.
- 90% of parolees will have an initial home visit within six working days following release from custody.
- 90% of the parolees will have a Comprehensive Case Conference within the first 60 days following release.
- 95% of cases will be supervised based upon assessed level of risk and at a level no less than that which is dictated by policy (i.e., Category A, B, C, D).
- 90% of parolees will have received frontloaded services during the period immediately following release.
- 95% of cases that changed Categories during supervision will have appropriate documentation that the case factors and criminogenic needs warranted a change.

SECTION 6: AGENT WORKLOAD EQUITY

POLICY STATEMENT: DAPO recognizes the importance and value of quality Parole Agent contacts. As such, it is imperative that Parole Agents be assigned a reasonable and equitable workload. Given that the Transition Phase and Category “A” cases require significant and extensive supervision efforts by Parole Agents, a maximum number of Transition Phase and Category “A” cases per Parole Agent shall be established.

RESEARCH SUPPORT

- Higher risk offenders are more likely to recidivate than lower risk offenders, thereby requiring more intensive supervision.²⁹
- The level of intensity of supervision and risk reducing interventions should align with offenders’ assessed risk level.³⁰
- DAPO uses the California Static Risk Assessment (CSRA) to determine level of risk to reoffend. CSRA risk scores, by group, are as follows:³¹
 - CSRA low risk (22% of the population) have a 48% likelihood of committing any new felony; a 17% likelihood of committing a drug felony; a 10% likelihood of committing a property felony; and an 11% likelihood of committing a violent felony.
 - CSRA moderate risk (33% of the population) have a 69% likelihood of committing any new felony; a 28% likelihood of committing a drug felony; a 21% likelihood of committing a property felony; and a 22% likelihood of committing a violent felony.
 - CSRA high drug risk (9% of the population) have a 82% likelihood of committing any new felony; a 48% likelihood of committing a drug felony; a 26% likelihood of committing a property felony; and a 23% likelihood of committing a violent felony.
 - CSRA high property risk (19% of the population) have a 82% likelihood of committing any new felony; a 34% likelihood of committing a drug felony; a 40% likelihood of committing a property felony; and an 26% likelihood of committing a violent felony.
 - CSRA high violent risk (17% of the population) have a 82% likelihood of committing any new felony; a 31% likelihood of committing a drug felony; a 31% likelihood of committing a property felony; and a 38% likelihood of committing a violent felony.

²⁹ See Lowenkamp & Latessa, 2004; Lowenkamp, Latessa, & Holsinger, 2006.

³⁰ See Andrews & Bonta, 2007.

³¹ See Turner & Jennetta, 2008.

KEY IMPLEMENTATION ISSUES

- Define the best estimated average number of respective supervision category (Transitional Phase, Category “A”, Category “B”, Category “C”, and Category “D”) cases per agent. Using the CSRA numerical value, place parolees into a defined supervision category relative to their risk to recidivate. (See table below.)
- There is an expected workload for each supervision category requiring specific tasks to be completed each calendar month by the respective Parole Agent. The workload associated with the entire caseload should be manageable and allow for quality interactions and contacts between agents and parolees.
- A policy memo will be drafted to ensure equal distribution of cases and consistency throughout DAPO.
- The importance of establishing this maximum number of Transition Phase or Category “A” cases will enhance the Parole Agent’s ability to complete quality contacts and interactions.

Estimated CSRA Numerical Value of Inmates Being Released to Active Parole	Established Maximum Parole Agent Workload: 50 cases
<ul style="list-style-type: none">▪ CSRA Numerical Value of “5” = 37%▪ CSRA Numerical Value of “4” = 20%▪ CSRA Numerical Value of “3” = 12%▪ CSRA Numerical Value of “2” = 17%▪ CSRA Numerical Value of “1” = 12% <i>All estimates are +/- 2%</i>	<ul style="list-style-type: none">▪ No Parole Agent shall have more than 40 parolees in either the Transition Phase or Category “A” combined▪ The remaining cases shall consist of cases from category’s “B,” “C,” and/or “D.”

QUALITY ASSURANCE PROCESS

- To assure Parole Agents have the opportunity to provide quality case management services, caseloads will be monitored to assure that maximum caseload assignment levels, based upon category assignments and number of assigned cases, are not exceeded.

RESOURCES REQUIRED

Increased Parole Agent staffing levels.

TIMELINE

- This policy will be implemented as the non-revocable parole is established.

PERFORMANCE MEASUREMENT CRITERIA

- 90% of caseloads shall contain no more than 40 parolees in the Transition Phase and/or Category A.

Section 7: PROGRAMMING

POLICY STATEMENT: FORTHCOMING.

NOTE: Programming is essential to any strategy designed to reduce offender recidivism and as such, is an essential component of this plan. This portion of the plan has yet to be completed. Its ultimate inclusion is critical to the overall success of this plan.

RESEARCH SUPPORT

- In order to reduce the likelihood of reoffense, offenders' criminogenic needs must be addressed through evidence-based programming and interventions.³²

KEY IMPLEMENTATION ISSUES

- Forthcoming.

QUALITY ASSURANCE PROCESS

- Forthcoming.

RESOURCES REQUIRED

- Forthcoming.

RESOURCES REQUIRED

- Forthcoming.

TIMELINE

- Forthcoming.

PERFORMANCE MEASUREMENT CRITERIA

- Forthcoming.

³² See Andrews et al., 1990.

SECTION 8: REWARDS AND INCENTIVES

POLICY STATEMENT: DAPO will establish a structured method to reward offenders for demonstrable progress towards meeting the goals of their case management plans and for demonstration of pro-social behavior.

RESEARCH SUPPORT

- Positive reinforcement is more effective than negative reinforcement in shaping and redirecting offender behavior.³³
- Positive reinforcement should be applied more frequently than negative reinforcement. A ratio of four positive expressions (approval for a pro-social attitude or behavior) for every negative expression (disapproval for anti-social attitude or behavior) maximizes positive behavioral change.³⁴

KEY IMPLEMENTATION ISSUES

- Similar to the structure of the PVDMI where low, moderate and high level violations translate into similar response categories, this chart identifies offenders' pro-social behaviors and attitudes and a range of rewards/incentives that can be given to parolees for demonstration of these behaviors/attitudes. The following items are recommended for inclusion in the Rewards/Incentives chart.
- Rewards/incentives granted in Levels A and D will be utilized by the Parole Agent who has the discretion to select the type of reward. Rewards/incentives in Levels B and C may require supervisory approval.
- A policy memo will be drafted to inform staff of the rewards/incentives policy.
- Incentives can include any listed in the corresponding behavioral category or any preceding category (i.e., a Level C behavior can be rewarded with a Level C incentive, or a Level A or B incentive).

³³ See Bandura, 1996; Gendreau & Goggin, 1997; Higgins, & Silverman, 1999.

³⁴ See Andrews & Bonta, 2006; Gendreau & Goggin, 1996.

BEHAVIORAL INCENTIVE CHART	
BEHAVIORS	INCENTIVES
LEVEL A	
<ul style="list-style-type: none"> Positive attitude during office/field visit 30 days drug/alcohol free Positive report from collateral contacts Timely enrollment/reporting/attendance (STAR, Lit Lab, POC, Agent, etc.) Search for gainful employment 	<ul style="list-style-type: none"> Verbal recognition by Parole Agent Laudatory comments to family, peers, support systems
LEVEL B	
<ul style="list-style-type: none"> 60 days drug/alcohol free 60 days without missing appointments Obtained verifiable gainful employment Volunteer duty in the community or parole office Positive report from teacher/employer/therapist Pro-social behavior (positive parenting, conflict resolution, stable family relationships, etc.) Residential stability 	<ul style="list-style-type: none"> Verbal recognition by Parole Agent and/or Unit Supervisor Certificate of accomplishment presented by Parole Agent Clothing voucher/referral Travel pass
LEVEL C	
<ul style="list-style-type: none"> 90 days violation free 90 days of employment Six months stable residence Completion of program related to criminogenic needs Complete compliance with Case Plans Completed a school quarter/semester or 30 days regular GED attendance Complete GED or obtain high school diploma Satisfy restitution order 	<ul style="list-style-type: none"> Letter to parent/significant other Reduce reporting requirements Modify special conditions of parole Vouchers or gift certificates upon availability Gift items obtained through gift drive presented to parolee child (upon availability) Early discharge consideration Community celebration
LEVEL D	
<ul style="list-style-type: none"> Successful Discharge 	<ul style="list-style-type: none"> Community celebration/recognition Certificate presentation

QUALITY ASSURANCE PROCESS

- Each parole unit will discuss the use of incentives at their unit meetings and exchange scenarios in which incentives were used and whether their use seemed to positively influence offenders' behaviors.
- On a periodic basis, Parole Agents' one-on-one sessions with parolees will be observed using the quality assurance process. Parole Agents will be provided with feedback on their use of affirmation and rewards/incentives.

RESOURCES REQUIRED

- Quality assurance process and oversight will need to be determined.
- No new resources are required; this policy can be implemented with existing personnel.
- Most incentives can be offered at no cost to the department – they will either be available at no cost (such as verbal recognition or paper certificates developed by the unit) or items donated from local business/charities.

TIMELINE

- This policy can be implemented immediately.

PERFORMANCE MEASUREMENT CRITERIA

- 90% of observed parole contacts will demonstrate appropriate use of rewards and incentives.

SECTION 9: DISCHARGE CONSIDERATION

POLICY STATEMENT: DAPO will utilize objective criteria when making discharge recommendations and decisions. DAPO will also utilize a committee process to review suitability for discharge for all parolees for whom the Board of Parole Hearings (BPH) has discharge jurisdiction and are being recommended for discharge by unit or district staff.

RESEARCH SUPPORT

- Positive reinforcement is more effective than negative reinforcement in shaping and redirecting offender behavior.³⁵
- Positive reinforcement should be applied more frequently than negative reinforcement. A ratio of four positive expressions (approval for a pro-social attitude or behavior) for every negative expression (disapproval for anti-social attitude or behavior) maximizes positive behavioral change.³⁶
- Processes that are impartial, logical and fair result in increased adherence to rules.³⁷

KEY IMPLEMENTATION ISSUES

- Parolees will be given discharge consideration at stated intervals.
- The Discharge Consideration Committee may modify the schedule to reduce the time between subsequent discharge consideration reviews.
- Objective criteria will be used for discharge consideration.
- Data will be collected over time and discharge consideration criteria and ratings modified based upon empirical findings related to discharge decisions and post-supervision outcomes.
- Contact Enterprise Information Systems to modify DECS to include check box for DCC.
- The Discharge Consideration Committee will consist of: a Deputy Commissioner, Unit Supervisor, the Agent of Record (AOR) and Parole Outpatient Clinic (POC) clinician (if the parolee participated in POC). The District Administrator shall participate if they made a recommendation or may elect to participate in other cases at their discretion.
- Discharge Consideration Process:

³⁵ See Bandura, 1996; Gendreau & Goggin, 1997; Higgins, & Silverman, 1999.

³⁶ See Andrews & Bonta, 2006; Gendreau & Goggin, 1996.

³⁷ See Tyler, 1990.

- The Agent of Record (AOR) submits a discharge review report with a recommendation no later than 30 days prior to discharge review date.
- The Unit Supervisor (US) shall make a recommendation to discharge or retain.
- The US will determine whether the unit or Board of Parole Hearings (BPH) has jurisdiction over the discharge decision.
- If there is a difference of opinion (DOP) between the AOR and US, the case shall be referred to the District Administrator (DA) for recommendation.
- The DA shall make a recommendation. If the recommendation is for discharge, the case will be returned to the US for the scheduling of the Discharge Consideration Committee.
- If the final recommendation is to discharge and the BPH has jurisdiction to discharge, the US shall ensure that a committee is scheduled.
- It is anticipated that each committee will last not more than 30 minutes.
- The parolee is provided with written notice of the hearing date, time, and location.
- The AOR shall check DECS to ensure that reasonable accommodations are provided, if needed.
- The AOR is responsible for transporting the parolee to the meeting, if needed. However, the US may allow the parolee to participate via telephone.
- The AOR shall act as staff assistant to the parolee, if needed.
- The following attachments will be reviewed and discussed: POC evaluation/adjustment and supporting documents provided by parolee (paycheck stubs, certificates of completion, child support verification, drivers license, etc.).
- The parolee will be allowed to present information and documentation about their adjustment during the committee.
- Following review of all documents and discussion, the AOR and Unit Supervisor will document their recommendations on the CDCR Form 1502DR which will be submitted to the BPH for final decision.
- BPH Deputy Commissioner has final determination and shall explain their decision during the meeting.
- Upon adjudication, the board action is forwarded to Case Records and all appropriate changes are noted in the CalParole Tracking System.
- Discharge Consideration Criteria:
 - The following criteria will be considered in the discharge review using the objective criteria and rating system on the Discharge Consideration Process Checklist:
 - Criteria 1: Stable Residence and Positive Living Environment.
 - Criteria 2: Pro-Social Activities.
 - Criteria 3: Supervision Compliance.
 - Criteria 4: Programming Related to Criminogenic Needs.

- Criteria 5: Pro-Social Relationships.
- The parolee will be considered for discharge when he/she meets the minimum rating based upon his/her Supervision Category assignment. Further consideration will be viewed in light of the severity of the parolee's criminal history, commitment offense, length of time on supervision (completed and pending), and level of compliance with supervision beyond the recent past.

DISCHARGE CONSIDERATION CRITERIA		
CRITERIA 1: Stable Residence and Positive Living Environment		
Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee has maintained residence stability in a positive living environment.	The parolee has maintained residence stability when he/she is not moving from place to place on a frequent basis and the living conditions are long-term rather than temporary (available to the parolee for the foreseeable future). The parolee's co-habitants and/or neighbors are pro-social, and supportive of the parolees' desire to live a crime-free lifestyle.	<p>1= Has been in the same largely pro-social living situation for six months or longer or less than six months but at least three months in those cases when the most recent move was clearly to improve overall living conditions) and conditions are stable for the foreseeable future.</p> <p>2=Has been in the same living situation for three months or longer and conditions are stable for the foreseeable future.</p> <p>3=Has been in the same living situation for less than three months; conditions are not stable for the foreseeable future.</p>

CRITERIA 2: Pro-Social Activities

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee's time is structured around pro-social activities.	The parolee maintains a pro-social schedule that is characterized by a structure that is consistent and predictable, with more rather than less time devoted to pro-social activities such as attendance at school/work, raising a family, and/or participation in other recreational and social engagement activities that increase his/her affiliation with pro-social others and a pro-social lifestyle.	<p>1=Time is highly structured and focused on pro-social activities.</p> <p>2=Time is more structured than not and generally focused on pro-social activities.</p> <p>3=Large periods of time are unstructured and unaccounted for; involvement in pro-social activities is not evident.</p>

CRITERIA 3: Supervision Compliance

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee has been compliant with supervision conditions in the recent past.	The parolee has adhered to the conditions of parole.	<p>1=No violation has been substantiated for the past twelve months.</p> <p>2=No violation has been substantiated for the past six months.</p> <p>3=The parolee has not met the conditions to warrant a rating of #1 or #2 under this criteria.</p>

CRITERIA 4: Programming Related to Criminogenic Needs

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee has received and has participated in programming for his/her top three criminogenic needs (based upon empirical assessment).	The parolee received programming and appropriate dosage to address his/her three most influential criminogenic needs. Programming is considered "received" when the parolee attended and satisfactorily participated in the program (as opposed to simple attendance and completion but did not satisfactorily participate).	1 = Met the condition 2 = Partially met the condition 3 = Did not meet the condition

CRITERIA 5: Pro-Social Relationships

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee affiliates him/herself with pro-social others.	The parolee surrounds him/herself with individuals who support law abiding behavior and are invested in the parolee's success. When those relationships don't exist, the parolee is actively engaged in activities likely to support the development of meaningful, pro-social relationships.	1=Relationships are primary pro-social and supportive of a crime-free lifestyle. 2=Parolee is seeking to terminate anti-social relationships with varying degree of success. 3=The majority of the parolee's social time is spent with individuals who reinforce anti-social attitudes and behaviors.

See the Appendix for additional information and discharge consideration decision making guidelines.

- Special Considerations:
 - The Discharge Consideration Process Checklist provides a guideline for parolees' eligibility for discharge consideration. Discharge will be considered when a parolee meets the minimum identified criteria as reflected in the Decision Making Guidelines chart.
 - There will be a presumption (not a requirement) of discharge when these ratings are minimally attained. For those parolees who meet the minimum discharge consideration criteria, additional factors related to public safety will be considered prior to making a final discharge decision. These factors include: the severity of the parolee's criminal history and presenting offense, the parolee's overall performance on supervision, and extenuating circumstance in the parolee's individual case that may support or mitigate against discharge.
 - Note: For purposes of discharge consideration, Category D offenders will be considered as if they are in Category A, B or C (based upon their assessed risk level) and discharge will be considered on the basis of the noted criteria. As in all other cases, extenuating circumstances will be considered as well.
- Documentation:
 - The following factors will be documented in the CDCR Form 1502DR:
 - Residence Stability - Whether or not the parolee's residential pattern is stable.
 - Employment Stability - Whether or not the parolee demonstrated a steady pattern of employment, educational, or vocational training, and if he or she has the ability to reasonably provide for his or her own financial needs while in the community.
 - Compliance with Conditions of Parole - Any known violations of any general, mandatory, or special conditions of parole, the parolee's ability to comply with all conditions, and include sanctions, rewards and incentives.
 - Psychological Factors - The mental health status of the parolee and his or her compliance with any mental health treatment and psychiatric program participation.
 - Gang Activity or Affiliation - Any past or present involvement in any prison, criminal, or street gang as a member, associate, or affiliate.
 - Restitution - Any fine and/or restitution balance at the time of review, and any effort to satisfy the fine and/or restitution balance.
 - Criminal History - Any statutory registration requirements, serious or violent offenses within the last ten years, weapons used or possessed during the commitment offense, or any history of firearms or weapons used or possessed, and any other relevant criminal information.

- Commitment offense narrative.
- Overall adjustment while on parole including:
 - Progress noted in Monthly Goals Reports.
 - Program participation and/or completion related to criminogenic needs.
 - Stability of significant relationships, including reunification progress.
 - Other factors relating to the parolee's Case Plan.

QUALITY ASSURANCE PROCESS

- Responsibility for quality assurance will be assigned to the District Administrator or Chief Deputy Regional Administrator. Using the Discharge Consideration Process Checklist, the discharge committees will be observed every six months for assessment of the following techniques: parolee engagement during the session and the tone/tenor of the session; assessment of progress based upon assessed criminogenic needs and Case Plan goals; use of affirmations; reinforcement of Case Plan ownership by the parolee; thorough review of discharge consideration criteria as defined by policy; appropriateness of the final discharge recommendation based upon criteria defined in policy; appropriate documentation of the discharge committee process and findings.
- Follow-up with discussion for evaluation and feedback.

RESOURCES REQUIRED

- Create a CDCR Form 1502DR Smart Form.
- Designate a District Master Scheduler for each district.
- Develop a scheduling/calendar system to notice all parties of the committee date and time.
- Change regulations to reflect one Deputy Commissioner to have authority to discharge or retain at committee.
 - If this change in regulation is not approved, teleconference/webinar is recommended.
- Create a lesson plan on discharge review processes.

TIMELINE

TIME PERIOD	ACTIVITY
July 2010	Create a lesson plan on discharge review process.
July 2010	Create CDCR Form 1502DR Smart form.
July 2010	Set up a master scheduling/calendar system.
August 2010	Train Master Trainers on lesson plan.
Sept to Nov 2010	Train all staff.
December 2010	Begin implementation.

PERFORMANCE MEASUREMENT CRITERIA

- 90% of the discharge reviews conducted by the discharge committee will have a report submitted by the AOR no later than thirty days prior to the discharge review date.
- 95% of the parolees will have received a written notice of the hearing date, time, and location. This notice will include a statement that the parolee will be allowed to provide input and evidence of positive progress during the meeting.
- 95% of Discharge Review Reports (DRR) will be reviewed by the designated discharge committee.
- 60% of all Discharge Consideration Committees will be attended by the parolee.
- 95% of the parolees that go before the discharge committee will minimally have the following factors documented: residential and employment stability, level of compliance, psychological factors, gang activity, restitution, use of alcohol/drugs, criminal history, overall adjustment, and progress on the parole plan based on the monthly goal reports.
- 80% of the discharge committees held will have at least 75% of the members present.
- 100% of the recommendations will be minimally based on objective discharge review criteria including:
 - Criteria 1: Stable Residence and Positive Living Environment.
 - Criteria 2: Pro-Social Activities.
 - Criteria 3: Supervision Compliance.
 - Criteria 4: Programming Related to Criminogenic Needs.
 - Criteria 5: Pro-Social Relationships.
- 95% of the cases will have committee recommendations documented by the AOR, Unit Supervisor and District Administrator on the CDCR Form 1502DR.

SECTION 10: INTERIM IMPLEMENTATION PLAN

POLICY STATEMENT: The Division of Adult Parole Operations (DAPO) shall incorporate the following interim plan during the implementation of Non-Revocable Parole (NRP).

RESEARCH SUPPORT

- Low risk offenders do not benefit from extensive supervision or services and may be more likely to recidivate when such services are provided.³⁸
- Effective correctional interventions delivered to moderate and high risk offenders produces the greatest recidivism reduction outcomes.³⁹

KEY IMPLEMENTATION ISSUES

- All parolees (excluding specialized Global Positioning System) shall be placed into the appropriate category based upon their CSRA score. The Agent of Record (AOR) will review each case and if it is determined that the parolee meets the criteria for another Category, a case conference will be conducted to make the appropriate Category modification, as indicated below:
 - TRANSITION PHASE: All parolees released after implementation.
 - CATEGORY A: Reserved primarily for High Drug, High Property and High Violence parolees with CSRA numerical value of 3, 4 and 5.
 - CATEGORY B: Reserved primarily for Moderate Risk parolees with CSRA numerical values of 2.
 - CATEGORY C: Reserved primarily for Low Risk parolees with CSRA numerical value of 1.
 - CATEGORY D: Reserved primarily for parolees in custody, jail-based In Custody Drug Treatment Program (ICDTP), Civil Addicts pending court discharge, gravely ill, etc.
- Pre-release procedures shall be utilized for all pre-parole packets received on or after the first of the month following implementation of the California Parole Supervision and Reintegration Model (CPSRM).
- Case conference and discharge review processes shall be initiated no later than 60 days after the implementation of the CPSRM.

QUALITY ASSURANCE PROCESS

- N/A

³⁸ See Andrews & Bonta, 2007.

³⁹ See Lowenkamp & Latessa, 2002.

RESOURCES REQUIRED

- Develop PowerPoint presentation.
- Parole Reform Task Force members provide training to Unit Supervisors (US) and District Administrators (DA).
- Provide training to field staff.

TIMELINE

TIME PERIOD	ACTIVITY
December 2009	Develop PowerPoint presentation.
January 2010	Provide training to Unit Supervisors and District Administrators.
February 2010	Provide training to field staff.
January 25, 2010 – April 1, 2010	Implement as determined by unit notification of NRP.

PERFORMANCE MEASUREMENT CRITERIA

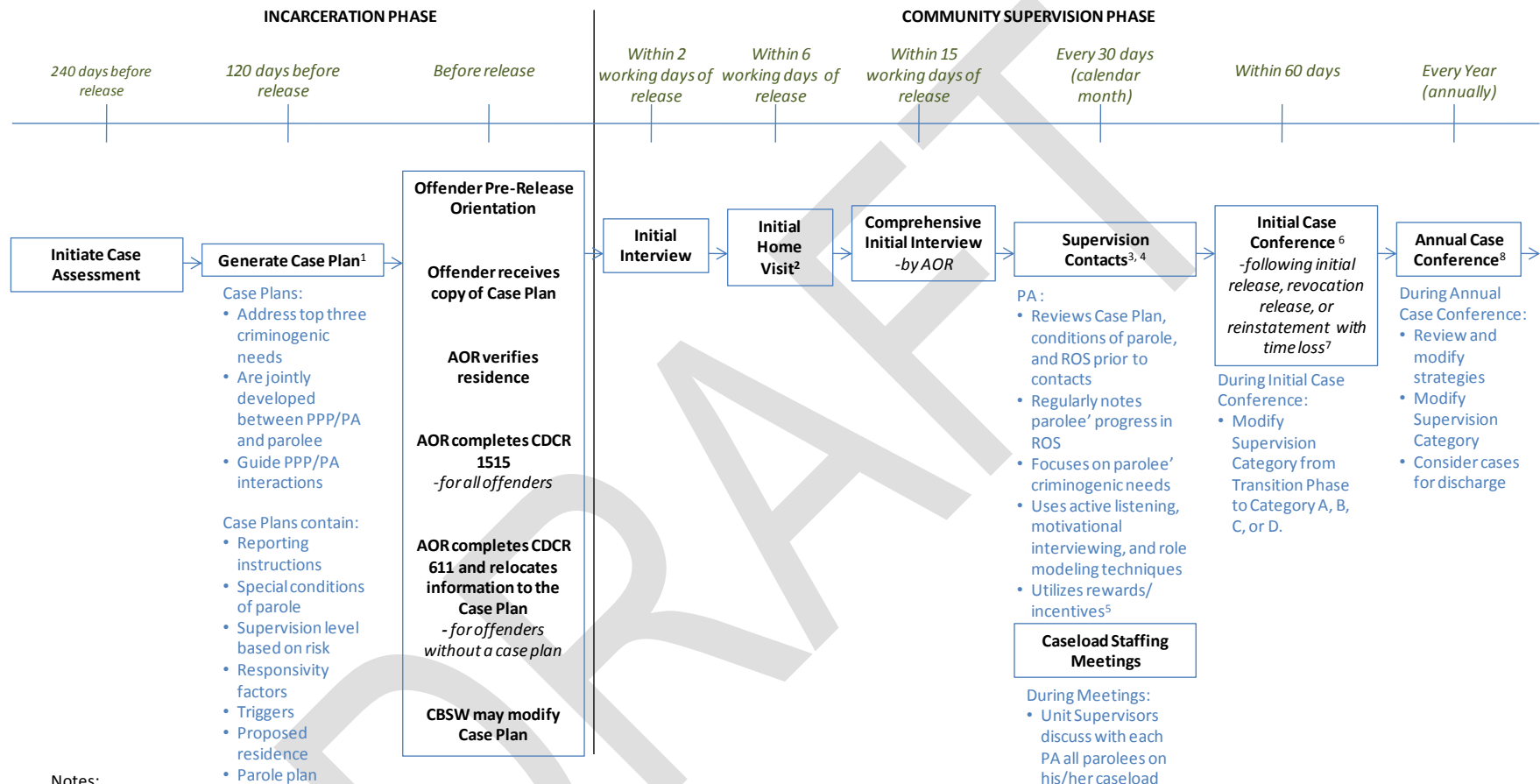
- 95% of all parolees eligible for NRP will be notified in writing of their eligibility.
- 95% of all parolees will be assessed by the AOR to determine appropriate category assignment, based upon established DAPO criteria.
- 95% of parolees assessed as low risk by the CRSA and who meet the NRP criteria are placed on NRP status.
- 100% of DAPO parolees will be assessed and placed in the appropriate status category by April 1, 2010.
- 95% of all parolees will be supervised based upon assessed level of risk and at a level no less than that which is dictated by policy (i.e., Category A, B, C, D).
- 100% of the pre-release procedures, as defined by policy, will be implemented by April 1, 2010.

APPENDIX 1:

CALIFORNIA PAROLE SUPERVISION AND REINTEGRATION MODEL FLOW CHART

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California Parole Supervision and Reintegration Model (CPSRM)



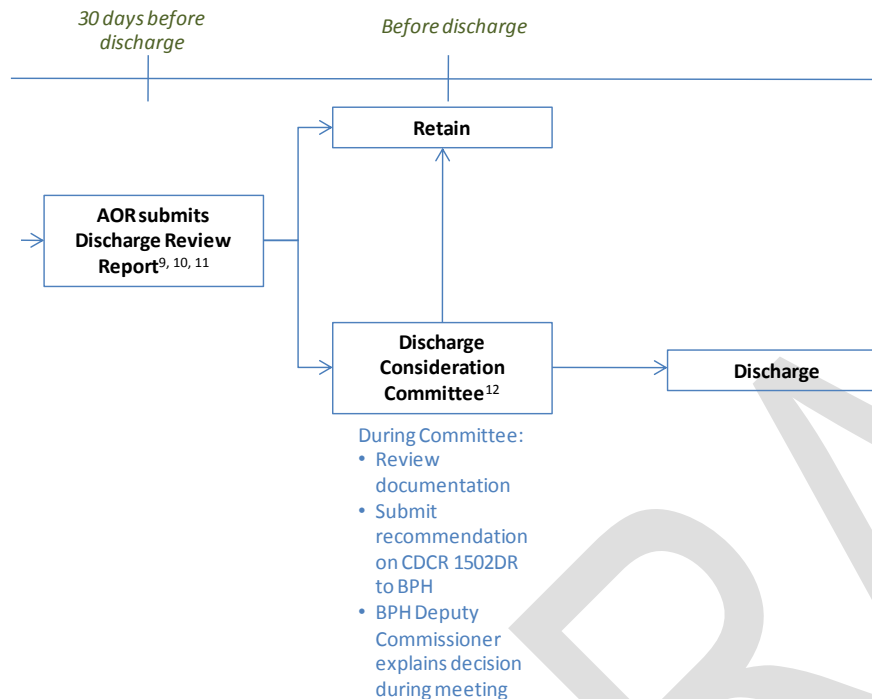
Notes:

1. PPP/PA continually reviews and modifies Case Plans whenever there is a change of parolee circumstances (i.e., positive progress; conditions that suggest elevated risk).
2. Beyond the initial home visit, case contact specifications are based on the Supervision Categories Contact Schedule.
3. If the parolee is released after the 20th of the month, only an initial interview (within 2 working days of release) and an initial home visit (within 6 working days of release) shall be conducted during the month of release from custody.
4. Contact specifications differ by Supervision Category (Transitional Phase, A, B, C, D). Contacts may include home contacts, other face-to-face contacts, significant collateral contacts, and resource contacts (see the Supervision Categories Contact Schedule).
5. See the Behavioral Incentive Chart.
6. Key participants in case conferences include: Unit Supervisor, Agent of Record, District Administrator, Parole Outpatient Clinician, parolee support networks, and parolee (if he/she chooses to attend).
7. All Supervision Category changes become effective the first day of the following month.
8. Case conferences will be conducted annually following initial release, revocation release, or reinstatement with time loss until the maximum statutory period of parole has expired. Case conferences can also occur upon the request of the AOR, Assistant Unit Supervisor, or Unit Supervisor to discuss further modifications to parolee's program goals, conditions of parole, and supervision category.

January 13, 2010

California Parole Supervision and Reintegration Model (CPSRM)

COMMUNITY SUPERVISION PHASE: (CONTINUED)



Notes:

9. Unit Supervisor shall make a recommendation to discharge or retain and determine whether the unit or BPH has jurisdiction over the discharge decision.

10. If there is a difference of opinion between the AOR and the Unit Supervisor, the case is referred to the District Administrator who will review and make a recommendation.

11. Discharge review criteria include: stable residence and positive living environment, pro-social activities, supervision compliance, programming related to criminogenic needs, and pro-social relationships.

12. If the final recommendation is to discharge and the BPH has jurisdiction, the Unit Supervisor shall ensure that a Committee is scheduled.

APPENDIX 2:

QUALITY ASSURANCE

Research and practice have repeatedly demonstrated that implementation of effective tools and practices fall far short of their potential when sufficient quality assurance techniques are not put in place. Some of the core EBP initiatives that require quality assurance include the following:

- **Assessment:** Ensure that empirically-based assessment instruments are properly administered; consistently applied across assessors; and used in the manner for which they are intended.
- **Case planning:** Ensure that Case Plans are directly linked to assessment findings; match intensity of intervention to risk level; address three or more of the most significant criminogenic needs; account for individual offenders' unique responsivity factors; build on offenders' strengths; and reflect ongoing review and modification based upon changes in risk/need and offenders' progress towards meeting stated goals and objectives.
- **Cognitive behavioral training:** Ensure that programs use cognitive-behavioral techniques; are administered in accordance with the author's logic model; address offenders' individual risk factors; vary in intensity and duration according to risk level; and are staffed by skilled facilitators.
- **Motivational Interviewing and core correctional practices:** Ensure that staff role model and reinforce pro-social behavior; interact with offenders in ways that increase motivation and encourage choices and problem solving; effectively address anti-social attitudes and behavior; deflect power struggles; and advocate on parolees' behalf.

Research from non-justice related fields (e.g., medicine, air safety) demonstrates that the use of checklists and similar tools provides easy-to-implement quality control methods, and enhances adherence to policy and consistency of practice. For these reasons, each section of this plan includes a set of recommended quality assurance processes. They are combined in this Appendix to underscore the need for and importance of a strategic quality assurance system to accompany the implementation of this plan. DAPO's quality assurance system should be:

- Prioritized as a central responsibility to specific individuals and/or a separately designated Quality Assurance Unit (other jurisdictions have designated Quality Assurance Managers, or Units, to serve this function);
- Allocated sufficient staff resources to conduct quality assurance thoroughly and routinely throughout the Division;

- Assigned to individuals who have ready access to parolee files and staff across the state (Field Training Officers and, in some cases, Unit Supervisors, District Administrators, Deputy Regional Administrators, and Regional Administrators may be ideally suited to fulfill this function);
- Conducted on a routine basis; and
- Used as a means to both reinforce staff' adherence to policy and demonstration of knowledge and competencies – and to identify areas of need in improvement in terms of further policy explication, information dissemination, training, or coaching.

QUALITY ASSURANCE PROCESS

Pre-Release Planning Quality Assurance Process

- Pre-release orientation classes will be assessed annually using the CPC Checklist.
- Pre-release orientation classes will receive a satisfactory score on the CPC Checklist, to be administered annually.
- *See the case management and supervision policy statement for Case Plan quality assurance processes.*

Case Management Quality Assurance Process

- A Case Plan audit will be conducted (using the Case Plan Audit Checklist) to ensure that Case Plans satisfactorily contain the following key components: identification of assessed level of risk and criminogenic needs; identification and consideration of responsivity factors; identification of triggers; alignment of intensity of supervision to assessed level of risk; alignment of criminogenic needs to interventions; case goals written in accordance with DAPO policy guidelines; evidence that the Case Plan is dynamic, continually reviewed and updated by parolee/Parole Agent as progress is made/new issues arise.
- A direct observation will be conducted at least annually to determine Parole Agents' consistent and effective use of case management, Motivational Interviewing techniques, and core correctional practices.

Case Conference Quality Assurance Process

- A direct observation of case conferences will be conducted and feedback will be provided regarding the extent to which the interaction is thorough (reviewing the salient issues of the case including but not limited to a review of the parolee's Case Plan, progress towards goals, and supervision history), is balanced (identifying both positive and negative adjustment issues), collaborative (reflecting two-way dialogue rather than one way information sharing or direction giving), and problem solving (reflecting a desire to identify and use techniques that will encourage the parolee's success).

Supervision Model and Quality of Contacts Quality Assurance Process

- Note: Effective supervision/agent-parolee interaction techniques are addressed in the *Case Management and Supervision* policy.
- Field observations will be conducted as a means of assessing the effectiveness of field contacts.
- Exit surveys will be conducted with offenders and collaterals to determine the most effective and ineffective aspects of parole supervision.

Agent Workload Equity

- To assure Parole Agents have the opportunity to provide quality case management services, caseloads will be monitored to assure that maximum caseload assignment levels, based upon category assignments and number of assigned cases, are not exceeded.

Programming Quality Assurance Process

- Forthcoming.

Rewards and Incentives Quality Assurance Process

- Each parole unit will discuss the use of incentives at their unit meetings and exchange scenarios in which incentives were used and whether their use seemed to positively influence offenders' behaviors.
- On a periodic basis, Parole Agents' one-on-one sessions with parolees will be observed using the quality assurance process. Parole Agents will be provided with feedback on their use of affirmation and rewards/incentives.

Discharge Consideration Quality Assurance Process

- Responsibility for quality assurance will be assigned to the District Administrator or Chief Deputy Regional Administrator. Using the Discharge Consideration Process Checklist, the discharge committees will be observed every six months for assessment of the following techniques: parolee engagement during the session and the tone/tenor of the session; assessment of progress based upon assessed criminogenic needs and Case Plan goals; use of affirmations; reinforcement of Case Plan ownership by the parolee; thorough review of discharge consideration criteria as defined by policy; appropriateness of the final discharge recommendation based upon criteria defined in policy; appropriate documentation of the discharge committee process and findings.
- Follow-up with discussion for evaluation and feedback.

Interim Implementation Plan Quality Assurance Process

- N/A

Case Plan Audit Checklist

Rating Scale:

1 = "In Need of Improvement" to 5 = "Mastery."

<i>Case Plan</i>	<i>Rating</i>	<i>Comments</i>
Identifies criminogenic needs as determined by assessment tool(s).		
Identifies risk level.		
Includes strategies to address obstacles (an impediment that can be overcome by the offender and agent working together).		
Includes strategies to address triggers (events, places, or circumstances that put a person at risk of anti-social behavior).		
Identifies goals, which are directly related to criminogenic needs.		
Strategies are specific, measurable, attainable and relevant.		
Services are linked to risk level (higher levels of service for higher risk parolees).		

Effective Case Conference Checklist

Case conferences should be observed and feedback should be given to the Unit Supervisor and Agent of Record regarding the extent to which the conference was effective along four dimensions: thoroughness, balance, extent of collaboration, and use of problem solving.

Rating Scale:

1 = "In Need of Improvement" to 5 = "Mastery."

Dimension	Rating	Comments
<i>Thorough:</i> Reviews the salient issues of the case including: <ul style="list-style-type: none">▪ Parolee's Case Plan▪ Progress towards goals▪ Supervision history		
<i>Balanced:</i> Identifies equally both positive adjustment of the parolee as well as negative adjustment issues		
<i>Collaborative:</i> Reflects a two-way dialogue between staff and parolee		
<i>Problem Solving:</i> Uses techniques to encourage parolee success through solving problems		

Category Movement Checklist

Current Category Assignment: _____ Length of Time in Current Category: _____

	Indicators of Progress/Lack of Progress	Rating
Criteria 1. Criminogenic Needs Addressed Considerations: <ul style="list-style-type: none"> Specific actions taken toward the development of a goal-directed parole case plan; specific actions taken to address goals and objectives on the parole plan; achievement of specific goals and objectives contained in the parole plan. 		
Criteria 2. Stable Living Environment Considerations: <ul style="list-style-type: none"> Specific actions taken toward, or attainment of, a stable (long-term rather than temporary) living environment. 		
Criteria 3. Pro-Social Living Environment Considerations: <ul style="list-style-type: none"> Specific actions taken toward, or attainment of, a non-isolated, pro-social living environment that is supportive of the parolee's desire to live a crime-free lifestyle. 		
Criteria 4. Structured Living Environment Considerations: <ul style="list-style-type: none"> Specific actions taken and demonstration of a daily structure that is largely or entirely consumed by pro-social activities (work, school, family, pro-social leisure/community activities). 		

Criteria 5. Pro-Social Relationships Considerations: <ul style="list-style-type: none"> Specific actions taken and demonstration of progress towards/establishment of relationships that are both significant (rather than casual) and pro-social. 		
Criteria 6. Supervision Compliance Considerations: <ul style="list-style-type: none"> Specific actions taken to meet supervision conditions as evidenced by satisfaction of requirements and absence of violations. 		

Rating Scale:

1 = The parolee is making demonstrable progress in this area as evidenced by the noted behavioral indicators.

2 = The parolee is making some progress in this area but is also lacking in some ways, as noted in the behavioral indicators.

3 = The parolee is not making demonstrable progress in this area as evidenced by the noted behavioral indicators.

Category Movement:

6 points: Parolees who receive 6 points should be recommended by the AOR for movement to a less intensive category (from "A" to "B" or from "B" to "C") unless extenuating circumstances indicate a public safety risk if such a change were instituted. These extenuating circumstances must be fully explained and approved by the Unit Supervisor.

7-11 points: Parolees who receive points in this range should be considered for category movement to a less intensive level unless more than one rating of "3" is assigned. Parolees in this point range with more than one "3" rating should be provided clear and specific feedback regarding the behaviors that are expected for movement to a less intensive category.

12-17 points: Parolees who receive points in this range should be considered for movement to a more intensive level. Parolees should be provided clear and specific feedback regarding the behaviors that are expected for category movement to occur.

18 points: Parolees who receive 18 points who are not already in category “A” should be recommended for movement to a more intensive category.

Extenuating Circumstances: _____

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Discharge Consideration Process Checklist

The parolee will be determined to be discharge-eligible when the parolee receives a satisfactory rating under each of the following conditions:

DISCHARGE CONSIDERATION CRITERIA		
CRITERIA 1: Stable Residence and Positive Living Environment		
Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee has maintained residence stability in a positive living environment.	The parolee has maintained residence stability when he/she is not moving from place to place on a frequent basis and the living conditions are long-term rather than temporary (available to the parolee for the foreseeable future). The parolee's co-habitants and/or neighbors are pro-social, and supportive of the parolees' desire to live a crime-free lifestyle.	<p>1= Has been in the same largely pro-social living situation for six months or longer or less than six months but at least three months in those cases when the most recent move was clearly to improve overall living conditions) and conditions are stable for the foreseeable future.</p> <p>2=Has been in the same living situation for three months or longer and conditions are stable for the foreseeable future.</p> <p>3=Has been in the same living situation for less than three months; conditions are not stable for the foreseeable future.</p>

CRITERIA 2: Pro-Social Activities

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee's time is structured around pro-social activities.	The parolee maintains a pro-social schedule that is characterized by a structure that is consistent and predictable, with more rather than less time devoted to pro-social activities such as attendance at school/work, raising a family, and/or participation in other recreational and social engagement activities that increase his/her affiliation with pro-social others and a pro-social lifestyle.	<p>1=Time is highly structured and focused on pro-social activities.</p> <p>2=Time is more structured than not and generally focused on pro-social activities.</p> <p>3=Large periods of time are unstructured and unaccounted for; involvement in pro-social activities is not evident.</p>

CRITERIA 3: Supervision Compliance

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee has been compliant with supervision conditions in the recent past.	The parolee has adhered to the conditions of parole.	<p>1=No violation has been substantiated for the past twelve months.</p> <p>2=No violation has been substantiated for the past six months.</p> <p>3=The parolee has not met the conditions to warrant a rating of #1 or #2 under this criteria.</p>

CRITERIA 4: Programming Related to Criminogenic Needs

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee has received and has participated in programming for his/her top three criminogenic needs (based upon empirical assessment).	The parolee received programming and appropriate dosage to address his/her three most influential criminogenic needs. Programming is considered "received" when the parolee attended and satisfactorily participated in the program (as opposed to simple attendance and completion but did not satisfactorily participate).	1 = Met the condition 2 = Partially met the condition 3 = Did not meet the condition

CRITERIA 5: Pro-Social Relationships

Success condition	Definition: Parolee meets the criteria if....	Rating (circle one)
The parolee affiliates him/herself with pro-social others.	The parolee surrounds him/herself with individuals who support law abiding behavior and are invested in the parolee's success. When those relationships don't exist, the parolee is actively engaged in activities likely to support the development of meaningful, pro-social relationships.	1=Relationships are primary pro-social and supportive of a crime-free lifestyle. 2=Parolee is seeking to terminate anti-social relationships with varying degree of success. 3=The majority of the parolee's social time is spent with individuals who reinforce anti-social attitudes and behaviors.

Decision Making Guidelines

The Discharge Consideration Process Checklist provides a guideline for parolees' eligibility for discharge consideration. Discharge will be considered when a parolee meets the minimum identified criteria as reflected in the Decision Making Guidelines Chart (below).

There will be a presumption (not a requirement) of discharge when these ratings are minimally attained. For those parolees who meet the minimum discharge consideration criteria, additional factors related to public safety will be considered prior to making a final discharge decision. These factors include: the severity of the parolee's criminal history and presenting offense, the parolee's overall performance on supervision, and extenuating circumstance in the parolee's individual case that may support or mitigate against discharge.

Decision Making Guidelines Chart			
	Category A Parolees <i>Must be rated...</i>	Category B Parolees <i>Must be rated ...</i>	Category C Parolees <i>Must be rated ...</i>
Criteria 1.: Stable Residence and Positive Living Environment	1 or 2	1 or 2	1 or 2
Criteria 2.: Pro-Social Activities	1	1 or 2	1 or 2
Criteria 3.: Supervision Compliance	1	1 or 2	1 or 2
Criteria 4.: Programming Related to Criminogenic Needs	1	1 or 2	1 or 2
Criteria 5.: Pro-Social Relationships	1	1	1 or 2

Note: For purposes of discharge consideration, Category D offenders will be placed in Category A, B or C (based upon their assessed risk level) and discharge will be considered on the basis of the noted criteria. As in all other cases, extenuating circumstances will be considered as well.

Note: Data should be collected on these criteria, release decisions and parolee outcomes post-release. When sufficient data is available, these guidelines should be calibrated on DAPO parolee outcomes.

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APPENDIX 3:

PERFORMANCE MEASUREMENT

The Importance of Performance Measurement

Performance measurement is the regular and systematic collection of quantitative information that will empirically demonstrate the results (outcomes) of activities (e.g., modified policies and practices, new program initiatives, etc.). Performance measurement connects indicators (i.e., quantitative measures) with specific objectives (i.e., expected outcomes). Performance information provides:

- An objective way to account for activities and accomplishments over time;
- A method to quantify the cost/benefit of investments and allocate/reallocate resources as may be appropriate;
- An opportunity to identify and intervene with implementation problems (or potential problems) that can impede goal achievement if not addressed in a timely fashion; and
- Objective and specific data that can be used to report performance to staff as a means to further engage and motivate, and external stakeholders as a means to demonstrate the benefit of investments.

Performance management is the use of the performance measurement information to report on successful performance, fine-tune policy and practices changes, adjust the allocation of resources in order to further enhance outcomes or better utilize existing resources, augment staff training and coaching to further develop core competencies that lead to improved outcomes, etc.

DAPO's Performance Measurement System

Each set of policy recommendations contained in this plan identifies a core set of performance measurement criteria. Similar to the preceding Appendix on Quality Assurance, the performance measurement criteria contained throughout this document are combined in this Appendix to underscore the need for and importance of a strategic performance measurement system to accompany the implementation of this plan. DAPO's performance measurement system should be:

- Prioritized as a central responsibility to specific individuals and/or a separately designated performance measurement unit;
- Allocated sufficient staff resources to conduct performance measurement thoroughly and routinely throughout the Division;

- Assigned to individuals who have ready access to data, parole units, and staff across the state;
- Conducted and analyzed on a monthly basis (except in instances where “real time” data is identified as critical to agency operations; in these instances data should be provided to decision makers immediately);
- Provided to all staff in a manner that is useful to their understanding of the outcomes of their individual work as well as the collective work of units and the Division as a whole; and
- Integrated into management’s routine policy analysis and development process.

A Word of Caution About Year One Performance Expectations

New processes and operational practices take time to implement with fidelity. Implementation of strategies as sweeping as those contained in this plan cannot occur simultaneously, nor can the needed training and coaching of staff. Further, unanticipated implementation challenges will undoubtedly result in at least minor modifications. For these reasons, the performance measurement expectations should be tempered and adjusted downward in year one of implementation.

PERFORMANCE MEASUREMENT CRITERIA

Pre-Release Planning Performance Measurement Criteria

- 95% of parolees identified as high risk will be assessed to one of three categories (5, 4, 3) using the CSRA.
- 85% of the parolees will have a case assessment initiated at 240 days prior to initial release from custody.
- 80% of parolees will have a Case Plan completed no later than 120 days prior to release by PPP.
- 80% of parolees will receive a copy of their Case Plan prior to release as documented in the Case Plan.
- 90% of parolees released on supervision to DAPO will have been referred to pre-release orientation.
- 80% of parolees who are referred to the pre-release orientation will complete the orientation successfully.
- 90% of the parole plans will include conditions of parole, the Case Plan, reporting instructions, registration requirements, notification requirements, and the CSRA score.
- 90% of special need parolees will have a Case Plan completed no later than 15 days prior to release by CBSW.
- 90% of parolees will have their residence verified in person by the AOR prior to release.

- 90% of parolees will have the Pre-Parole Residence Verification form completed comprehensively by the AOR.

Case Management Performance Measurement Criteria

- 90% of parolees' supervision will be guided by the parole plan as documented in the case notes (ROS) by the Parole Agent.
- 100% of completed Case Plans will demonstrate evidence that the plan was reviewed by the parolee and Parole Agent together.
- 80% of the completed Case Plans will address, at a minimum, each offender's top three criminogenic needs.
- 85% of the Case Plans will be modified whenever there is a change in the parolees' circumstances that would dictate a need to alter the Case Plan activities or timelines.

Case Conference Performance Measurement Criteria

- 90% of the parolees will have a Case Conference within the first 60 days following release.
- 95% of cases that changed categories during supervision will have sufficient and appropriate documentation that the case factors and criminogenic needs warranted a change.

Supervision Model and Quality of Contacts Performance Measurement Criteria

- 90% of parolees will have an initial interview within two working days of release.
- 90% of parolees will have an initial home visit within six working days following release from custody.
- 90% of the parolees will have a Comprehensive Case Conference within the first 60 days following release.
- 95% of cases will be supervised based upon assessed level of risk and at a level no less than that which is dictated by policy (i.e., Category A, B, C, D).
- 90% of parolees will have received frontloaded services during the period immediately following release.
- 95% of cases that changed Categories during supervision will have appropriate documentation that the case factors and criminogenic needs warranted a change.

Agent Workload Equity

- 90% of caseloads shall contain no more than 40 parolees in the Transition Phase and/or Category A.

Programming Performance Measurement Criteria

- Forthcoming.

Rewards and Incentives Performance Measurement Criteria

- 90% of observed parole contacts will demonstrate appropriate use of rewards and incentives.

Discharge Consideration Performance Measurement Criteria

- 90% of the discharge reviews conducted by the discharge committee will have a report submitted by the AOR no later than thirty days prior to the discharge review date.
- 95% of the parolees will have received a written notice of the hearing date, time, and location. This notice will include a statement that the parolee will be allowed to provide input and evidence of positive progress during the meeting.
- 95% of Discharge Review Reports (DRR) will be reviewed by the designated discharge committee.
- 60% of all Discharge Consideration Committees will be attended by the parolee.
- 95% of the parolees that go before the discharge committee will minimally have the following factors documented: residential and employment stability, level of compliance, psychological factors, gang activity, restitution, use of alcohol/drugs, criminal history, overall adjustment, and progress on the parole plan based on the monthly goal reports.
- 80% of the discharge committees held will have at least 75% of the members present.
- 100% of the recommendations will be minimally based on objective discharge review criteria including:
 - Criteria 1: Stable Residence and Positive Living Environment.
 - Criteria 2: Pro-Social Activities.
 - Criteria 3: Supervision Compliance.
 - Criteria 4: Programming Related to Criminogenic Needs.
 - Criteria 5: Pro-Social Relationships.
- 95% of the cases will have committee recommendations documented by the AOR, Unit Supervisor and District Administrator on the CDCR Form 1502DR.

Interim Implementation Plan Performance Measurement Criteria

- 95% of all parolees eligible for NRP will be notified in writing of their eligibility.
- 95% of all parolees will be assessed by the AOR to determine appropriate category assignment, based upon established DAPO criteria.
- 95% of parolees assessed as low risk by the CRSA and who meet the NRP criteria are placed on NRP status.
- 100% of DAPO parolees will be assessed and placed in the appropriate status category by April 1, 2010.
- 95% of all parolees will be supervised based upon assessed level of risk and at a level no less than that which is dictated by policy (i.e., Category A, B, C, D).

- 100% of the pre-release procedures, as defined by policy, will be implemented by April 1, 2010.

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APPENDIX 4: COMBINED TIMELINE

Parole Reform in California: Master Timeline	Dec-09	Jan-10	Feb-10	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11
Pre-Release Planning																					
Amend Policies 08-28 and 09-08 to reflect change in highest risk to public safety (High Risk of Violence is the highest risk category in CSRA).		➔																			
Modify signature blocks and amend Case Plan to include the conditions of parole, parole plan, reporting instructions, registration requirements, notification requirements, and CSRA score (smart forms with drop down menus and ability to electronically sign).										➔											
Develop Case Plan lesson plans and curriculum for field staff.											➔										
Identify staff to instruct classes on case planning.												➔									
Develop pre-release orientation curriculum and identify instructors.												➔									
Develop lesson plans and curriculum for field staff; identify and train Master Trainers for each region.													➔								
Train all staff.															➔						
Begin implementation.																			➔		

Parole Reform in California: Master Timeline	Dec-09	Jan-10	Feb-10	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11
Case Management																					
Create a consolidated lesson plan for criminogenic needs and case planning.			➔																		
Initiate training in Regions II, III, IV on Motivational Interviewing (Region I has already been trained).				➔																	
Master train supervisors and administrators.				➔																	
Train Region I and III Peace Officer and Parole Service Associate staff on Motivational Interviewing, criminogenic needs, and case planning process.				➔																	
Train Region II and IV Peace Officer and Parole Service Associate staff on Motivational Interviewing, criminogenic needs, and case planning process.					➔																
Training fully implemented and added to the academy curriculum.						➔															
Remediation as needed.							➔														
Case Conference																					
This policy can be implemented immediately.		➔																			

Parole Reform in California: Master Timeline	Dec-09	Jan-10	Feb-10	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11
Supervision Model and Quality of Contacts																					
Create a Monthly Goals Report.	➔																				
Develop policies relative to this section.		➔																			
Implement policy such that GPS can be used on transient parolees.								➔													
Develop a lesson plan and provide training to all staff to provide programs that address criminogenic needs.								➔													
Identify and train Master Trainers to provide instruction to staff.								➔													
Agent Workload Equity																					
This policy will be implemented as the non-revocable parole is established.		➔																			
Programming																					
Forthcoming.																					
Rewards and Incentives																					
This policy can be implemented immediately.	➔																				

Parole Reform in California: Master Timeline	Dec-09	Jan-10	Feb-10	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11
Discharge Consideration																					
Create a lesson plan on discharge review process.								→													
Create CDCR Form 1502DR Smart form.								→													
Set up a master scheduling/calendar system.								→													
Train Master Trainers on lesson plan.								→													
Train all staff.									→	→	→	→	→								
Begin implementation.													→								
Interim Implementation Plan																					
Develop PowerPoint presentation.	→																				
Provide training to Unit Supervisors and District Administrators.		→																			
Provide training to field staff.			→																		
Implement as determined by unit notification of NRP.		→	→	→																	

APPENDIX 5: FORMS

The following new forms are included in this section:

- Section A: Pre-Parole Residence Verification
 - Section B: Initial Interview Form
 - Section C: Comprehensive Initial Interview
 - Monthly Goals Report
 - Discharge Consideration Committee
 - Discharge Review Report
 - Parolee Exit Survey
-

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SECTION A – PRE-PAROLE RESIDENCE VERIFICATION

STREET ADDRESS	CITY	ZIP	PHONE	PHONE

OCCUPANT NAME(S)	AGE	RELATIONSHIP	SOURCE OF SUPPORT	ON PAROLE OR PROBATION? (Y/N)

- ☐ Identify the responsible/primary occupant of the residence: _____
- ☐ Identify the owner and/or manager of the residence: _____
- ☐ How long is it anticipated that the offender will be residing there? _____
- ☐ Identify any barriers that could preclude access to the front door of the residence and overcome those barriers by obtaining access codes, gate keys, etc.: _____
- ☐ Identify all dogs and/or other animals on the property and whether or not they may pose a danger to a Parole Agent and/or Law Enforcement Officers: _____

VEHICLE MAKE & MODEL	YEAR	COLOR	LICENSE #	OWNER/DRIVER

- ☐ Obtained a satellite photo printout of the residence (Google, MapQuest, etc.).

- ☐ Obtained photographs of the residence (exterior, interior, vehicles, etc.) whenever possible.
- ☐ A walk through of the interior of the residence to establish an understanding of how the residence is laid out, who resides within the residence and where the parolee will sleep.
- ☐ A cursory inspection of the offender's personal quarters or living area.
- ☐ A walk around the perimeter of the residence, to include the front yard, back yard, garage, and/or any outbuildings, if applicable.
- ☐ Any indications of a violation of parole: _____
- ☐ Explained the warrantless search and seizure expectations to the occupants.
- ☐ Any known weapons in the residence: _____
- ☐ Describe the layout of the residence, by providing a schematic and/or written details (use the back of this form if necessary): _____

NOTE: This checklist is required when verifying any new and/or change of an offender's residence of record. The initial residence verification may be scheduled; however, all subsequent home visits should be random and unannounced. The duration of home visits should vary each time to add an element of uncertainty for the offender.

Parole Agent Signature

Date

Time

SECTION B – INITIAL INTERVIEW FORM

COMPLETED BY PAROLEE

CDC NUMBER:		PRINT NAME (LAST, FIRST, MI):		MONIKER (STREET NAME):	
RECEIVED GATE MONEY: ↓NO ↓YES		PAROLE UNIT:		ASSIGNED PAROLE AGENT:	
RELEASED FROM:		RELEASE DATE:		DATE REPORTED:	
HOME ADDRESS:				HOME TELEPHONE NUMBER:	
LIVE WITH:		RELATIONSHIP:		CELL PHONE NUMBER:	
SECURITY GATE: ↓NO ↓YES		SECURITY CODE: ↓NO ↓YES		DOGS: ↓NO ↓YES DANGEROUS? ↓NO ↓YES	
MEANS OF SUPPORT/IF EMPLOYED, PROVIDE EMPLOYER'S NAME AND BUSINESS ADDRESS:				TELEPHONE NUMBER:	
IF EMPLOYED – IS STATUS KNOWN: ↓NO ↓YES – BY WHOM _____		SUPERVISOR'S NAME:		SUPERVISOR'S TELEPHONE NUMBER:	
IN THE EVENT OF AN EMERGENCY, CONTACT (NAME, RELATIONSHIP AND ADDRESS):				TELEPHONE NUMBER:	
ANY PRESCRIPTION MEDICATION:			RELEASED WITH ANY MEDICATIONS:		
VEHICLE MAKE & MODEL:		YEAR:	COLOR:	LICENSE NUMBER:	↓2 DOOR ↓4 DOOR
VEHICLE MAKE & MODEL:		YEAR:	COLOR:	LICENSE NUMBER:	↓2 DOOR ↓4 DOOR
IDENTIFICATION / DRIVERS LICENSE NUMBER:			SOCIAL SECURITY NUMBER:		
HEIGHT:	WEIGHT:	EYE COLOR:	HAIR COLOR:	PLACE OF BIRTH:	
PAROLEE'S SIGNATURE:				DATE:	

COMPLETED BY OFFICER OF THE DAY

CCCMS: <input type="checkbox"/> NO <input type="checkbox"/> YES EOP: <input type="checkbox"/> NO <input type="checkbox"/> YES SEEN BY POC: <input type="checkbox"/> NO <input type="checkbox"/> YES APPOINTMENT SCHEDULED: <input type="checkbox"/> NO <input type="checkbox"/> YES _____	REVIEWED DECS: <input type="checkbox"/> NO <input type="checkbox"/> YES DISABILITIES: <input type="checkbox"/> NO <input type="checkbox"/> YES PROSTHETIC/ASSISTIVE DEVICES: <input type="checkbox"/> NO <input type="checkbox"/> YES _____ ACCOMODATIONS PROVIDED: <input type="checkbox"/> NO <input type="checkbox"/> YES _____
<input type="checkbox"/> REVIEWED CONDITIONS OF PAROLE AND PROVIDED COPY <input type="checkbox"/> REVIEWED SPECIAL CONDITIONS <input type="checkbox"/> PROVIDED COPY OF CASE PLAN <input type="checkbox"/> REGISTRATION 290 / 11590 / 457.1 / 186.30 <input type="checkbox"/> TESTING INSTRUCTIONS EXPLAINED (IF REQUIRED) <input type="checkbox"/> COPY TO SUPPORT STAFF TO UPDATE CAL PAROLE <input type="checkbox"/> EXPLAINED PAROLE SEARCH POLICY	<input type="checkbox"/> REVIEWED APPEAL RIGHTS (CDCR 602 AND CDCR 1824) <input type="checkbox"/> PHOTO UPDATED <input type="checkbox"/> SCARS, MARKS AND TATOOS PHOTOGRAPHED <input type="checkbox"/> 3058.8 P.C. VICTIM NOTIFICATION REQUIRED: <input type="checkbox"/> NO <input type="checkbox"/> YES COMPLETED: <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> 3058.6 P.C. NOTIFICATION REQUIRED: <input type="checkbox"/> NO <input type="checkbox"/> YES <div style="text-align: right;">COMPLETED: <input type="checkbox"/> NO</div>
REFERRED TO PACT: <input type="checkbox"/> NO <input type="checkbox"/> YES WHEN: _____	
REPORTING INSTRUCTIONS: : <input type="checkbox"/> REPORT TO OFFICE _____ <input type="checkbox"/> TELEPHONE PAROLE AGENT	

COMMENTS: _____

PRINT PAROLE AGENT'S NAME:	PAROLE AGENT'S SIGNATURE:	BADGE NUMBER:	DATE SIGNED:
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SECTION C - COMPREHENSIVE INITIAL INTERVIEW

HOME ADDRESS: (If different from above)		HOME TELEPHONE NUMBER:
LIVE WITH:	RELATIONSHIP:	CELL PHONE NUMBER:
LIVING AREA/PERSONAL QUARTERS:		

SIGNIFICANT OTHER(S) AND/OR CHILDREN

NAME:		RELATIONSHIP:
ADDRESS:		HOME TELEPHONE NUMBER:
ON PAROLE OR PROBATION:		CELL PHONE NUMBER:
CHILDREN(S) NAME & AGE	CHILDREN(S) NAME & AGE	CHILDREN(S) NAME & AGE

FAMILY AND/OR FRIENDS OUTSIDE CALIFORNIA:

NAME:	RELATIONSHIP:
ADDRESS:	HOME TELEPHONE NUMBER:

What is the status of your relationship with your significant other? _____

Has your significant other(s) ever reported you to the police? _____

Do the people you reside with know about your criminal history? _____

What is your immediate support system? _____

Who is the most important/supportive person in your life? _____

Who should you avoid in the community to not be sent back to prison? _____

What are the triggers that cause you to get into trouble? _____

What is your drug of choice? _____

What is your primary method of drug use? _____

How long have you been using? _____

Do you drink and how often? _____

Does anyone in your family or residence use drugs or alcohol? _____

Have you ever attended substance abuse treatment (inpatient or outpatient)? Yes ___ No___

What programs did you participate in while in prison? _____

What programs did you participate in prior to incarceration? _____

What do your tattoos mean? _____

Do you have any known medical problems? _____

What are your major challenges now? _____

What is your plan now that you are out on the street? _____

What type of job skills do you have? _____

Do you want to go to school? _____

How are you going go about getting a job? _____

What are you means of financial support? _____

†REVIEWED CONDITIONS OF PAROLE AND
PROVIDED COPY

†REVIEWED SPECIAL CONDITIONS

†REVIEWED CASE PLAN

†REVIEWED PAROLE PLAN

†TESTING INSTRUCTIONS EXPLAINED (IF
REQUIRED)

†EXPLAINED PAROLE SEARCH POLICY

†COMPREHENSIVE CASE CONFERENCE
EXPLAINED

† OBTAIN COPY OF REGISTRATION 290 / 11590 / 457.1 / 186.30	† DISCHARGE PROCESS EXPLAINED
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Comments:

PAROLEE SIGNATURE	DATE
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PAROLE AGENT SIGNATURE	DATE
------------------------	------

UNIT SUPERVISOR SIGNATURE	DATE
---------------------------	------

MONTHLY GOALS REPORT

MONTH / YEAR _____

NAME	CDC NUMBER	AGENT OF RECORD
------	------------	-----------------

GOALS

SPECIFIC GOAL	HOURS	SPECIFIC GOAL	HOURS
<input type="checkbox"/> FIND STABLE HOUSING (Residential Instability)		<input type="checkbox"/> WORKING OR LOOKING FOR A JOB (Reentry Employment Expectations)	
<input type="checkbox"/> DEVELOP JOB SKILLS OR ATTEND SCHOOL (Vocation/Education)		<input type="checkbox"/> ATTEND DRUG TREATMENT PROGRAM (Substance Abuse)	
<input type="checkbox"/> MONEY MANAGEMENT, SSI, GENERAL ASSISTANCE, ETC. (Financial Problems)		<input type="checkbox"/> ANGER MANAGEMENT, BATTERER'S PROGRAM, ETC. (Negative Social Cognitions)	
<input type="checkbox"/> OTHER: _____		<input type="checkbox"/> OTHER: _____	
<input type="checkbox"/> OTHER: _____		<input type="checkbox"/> OTHER: _____	

PAROLEE SIGNATURE	DATE
-------------------	------

DATE	SPECIFIC GOAL ACTIVITY COMPLETED	HOURS	CONTACT INFORMATION

PAROLE AGENT REVIEWED (SIGNATURE)	DATE
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DISCHARGE CONSIDERATION COMMITTEE

CDCR 1502DCC

CDC NUMBER:	PRINT NAME (LAST, FIRST, MI):	REGION:	PAROLE UNIT:
SUPERVISION CATEGORY:	CSRA SCORE:	290 REGISTRANT: <input type="checkbox"/> NO <input type="checkbox"/> YES _____	STATIC-99 SCORE:
COMMITMENT OFFENSE:		IS COMMITMENT OFFENSE SUBJECT TO 667.5 (C) P.C.? <input type="checkbox"/> NO <input type="checkbox"/> YES	
DISCHARGE REVIEW DATE:	CONTROLLING DISCHARGE REVIEW DATE:	IMMINENT DISCHARGE <input type="checkbox"/>	
CCCMS: <input type="checkbox"/> NO <input type="checkbox"/> YES EOP: <input type="checkbox"/> NO <input type="checkbox"/> YES SEEN BY POC: <input type="checkbox"/> NO <input type="checkbox"/> YES	REVIEWED DECS: <input type="checkbox"/> NO <input type="checkbox"/> YES DISABILITIES: <input type="checkbox"/> NO <input type="checkbox"/> YES ACCOMODATIONS NEEDED: <input type="checkbox"/> NO <input type="checkbox"/> YES _____		

DISCHARGE CONSIDERATION COMMITTEE INFORMATION

DATE:	TIME:	LOCATION:
-------	-------	-----------

DISCHARGE CONSIDERATION COMMITTEE PARTICIPANTS

NAME	TITLE	NOTIFICATION METHOD	PRESENT
	UNIT SUPERVISOR	<input type="checkbox"/> Mailed Letter <input type="checkbox"/> Personal Contact	<input type="checkbox"/> YES <input type="checkbox"/> NO
	DEPUTY COMMISSIONER	<input type="checkbox"/> Mailed Letter <input type="checkbox"/> Personal Contact	<input type="checkbox"/> YES <input type="checkbox"/> NO
	DISTRICT ADMINISTRATOR	<input type="checkbox"/> Mailed Letter <input type="checkbox"/> Personal Contact	<input type="checkbox"/> YES <input type="checkbox"/> NO
	AGENT OF RECORD	<input type="checkbox"/> Mailed Letter <input type="checkbox"/> Personal Contact	<input type="checkbox"/> YES <input type="checkbox"/> NO
	POC CLINICIAN	<input type="checkbox"/> Mailed Letter <input type="checkbox"/> Personal Contact	<input type="checkbox"/> YES <input type="checkbox"/> NO
	PAROLEE/RELEASEE	<input type="checkbox"/> Mailed Letter <input type="checkbox"/> Personal Contact	<input type="checkbox"/> YES <input type="checkbox"/> NO
	OTHER	<input type="checkbox"/> Mailed Letter <input type="checkbox"/> Personal Contact	<input type="checkbox"/> YES <input type="checkbox"/> NO

COMMENTS

BOARD OF PAROLE HEARINGS ACTION:

† RETAIN ON PAROLE		† DISCHARGE EFFECTIVE DATE: _____	
† REFER FOR SECOND DEPUTY COMMISSIONER REVIEW (IF REQUIRED)			
DEPUTY COMMISSIONER PRINT NAME:	SIGNATURE:	BADGE NUMBER:	DATE SIGNED:
OFFENDER PROVIDED COPY (DATE): _____		† MAILED BY (INITIALS): _____ †	
DELIVERED BY (INITIALS): _____			
ORIGINAL TO CASE RECORDS (DATE): _____		† MAILED BY (INITIALS): _____	

INSTRUCTIONS FOR COMPLETING CDCR 1502DCC, DISCHARGE CONSIDERATION COMMITTEE

COMMITTEE MAKE-UP:

- Each committee will consist of a Deputy Commissioner (DC), Unit Supervisor (US), Agent of Record (AOR) and Parole Outpatient Clinic (POC) clinician (if the parolee participated in POC). The District Administrator (DA) shall participate if they made a recommendation or may elect to participate in other cases at their discretion.

DISCHARGE REVIEW REPORT

DISCHARGE REVIEW REPORT

CDCR 1502DR

CDC NUMBER:	PRINT NAME (LAST, FIRST, MI):	REGION:	PAROLE UNIT:
SUPERVISION CATEGORY:	CSRA SCORE:	290 REGISTRANT: <input type="checkbox"/> NO <input type="checkbox"/> YES	STATIC-99 SCORE: _____
COMMITMENT OFFENSE:		IS COMMITMENT OFFENSE SUBJECT TO 667.5 (C) P.C.? <input type="checkbox"/> NO <input type="checkbox"/> YES	
DISCHARGE REVIEW DATE:	CONTROLLING DISCHARGE REVIEW DATE:	IMMINENT DISCHARGE <input type="checkbox"/>	

DISCHARGE REVIEW CRITERIA (The following factors shall be documented and considered. Explain basis for retain or discharge recommendations):

COMMITMENT OFFENSE NARRATIVE
CRIMINAL HISTORY (Any statutory registration requirements, serious or violent offenses within the last ten years, weapons used or possessed during the commitment offense, or any history of firearms or weapons used or possessed, and any other relevant criminal information):
GANG ACTIVITY OR AFFILIATION: (Note any past or present involvement in any prison, criminal, or street gang as a member, associate, or affiliate)
PSYCHOLOGICAL FACTORS: (Note the mental health status of the parolee and his or her compliance with any mental health treatment and psychiatric program participation)
RESTITUTION: (Note any fine and/or restitution balance at the time of review, and any effort to satisfy the fine and/or restitution balance)
RESIDENTIAL INFORMATION: (address and how long)

<p>1. The parolee has maintained residence stability in a positive living environment.</p>	<p>The parolee has maintained residence stability when he/she is not moving from place to place on a frequent basis and the living conditions are long-term rather than temporary (available to the parolee for the foreseeable future). The parolee's co-habitants and/or neighbors are pro-social and supportive of the parolees desire to live a crime free life style.</p>	<p>1= Has been in the same largely pro-social living situation for six months or longer or less than six months but at least three months in those cases when the most recent move was clearly to improve overall living conditions) and conditions are stable for the foreseeable future</p> <p>2=Has been in the same living situation for three months or longer and conditions are stable for the foreseeable future</p> <p>3=Has been in the same living situation for less than three months; conditions are not stable for the foreseeable future</p>
<p>EMPLOYMENT/VOCATION/EDUCATION INFORMATION:</p>		
<p>2. The parolee's time is structured around pro-social activities.</p>	<p>The parolee maintains a pro-social schedule that is characterized by a structure that is consistent and predictable, with more rather than less time devoted to pro-social activities such as attendance at school/work, raising a family, and/or participation in other recreational and social engagement activities that increase his/her affiliation with pro-social others and a pro-social lifestyle.</p>	<p>1=Time is highly structured and focused on pro-social activities.</p> <p>2=Time is more structured than not and generally focused on pro-social activities.</p> <p>3=Large periods of time are unstructured and unaccounted for; involvement in pro-social activities is not evident.</p>
<p>COMPLIANCE WITH CONDITIONS OF PAROLE (Address any known violations of any general, mandatory, or special conditions of parole, the parolee's ability to comply with all conditions, and include sanctions, rewards and incentives</p>		
<p>3. The parolee has been compliant with supervision conditions in the recent past.</p>	<p>The parolee has adhered to his/her conditions of parole.</p>	<p>1=No violation has been substantiated for the past twelve months.</p> <p>2=No violation has been substantiated for the past six months.</p> <p>3=The parolee has not met the conditions to warrant a rating of #1 or #2 under this criteria.</p>

4. The parolee received and has participated in programming for his/her top three criminogenic needs (based upon empirical assessment).	The parolee received programming and appropriate dosage to address his/her three most influential criminogenic needs. Programming is considered "received" when the parolee attended and satisfactorily participated in the program (as opposed to simple attendance and completion but did not satisfactorily participate).	1 = Met the condition 2 = Partially met the condition 3 = Did not meet the condition
5. The parolee affiliates him/herself with pro-social others.	The parolee surrounds him/herself with individuals who support law abiding behavior and are invested in the parolee's success. When those relationships don't exist, the parolee is actively engaged in activities likely to support the development of meaningful, pro-social relationships.	1=Relationships are primary pro-social and supportive of a crime-free lifestyle. 2=Parolee is seeking to terminate anti-social relationships with varying degree of success. 3=The majority of the parolee's social time is spent with individuals who reinforce anti-social attitudes and behaviors.

PAROLE AGENT'S RECOMMENDATION:

PRINT PAROLE AGENT'S NAME:	PAROLE AGENT'S SIGNATURE:	BADGE NUMBER:	DATE SIGNED:
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UNIT SUPERVISOR'S ACTION:

UNIT SUPERVISOR'S ACTION:			
↓ DECISION	↓ REVIEW	↓ RETAIN ON PAROLE	↓ REFER TO DISTRICT ADMINISTRATOR
↓ DISCHARGE EFFECTIVE DATE: _____		↓ SCHEDULE FOR DISCHARGE CONSIDERATION COMMITTEE	
↓ SPECIAL CONDITIONS(S): DELETE		↓ ADD ↓	
UNIT SUPERVISOR'S COMMENTS / DECISION / RECOMMENDATION:			
PRINT UNIT SUPERVISOR'S NAME:	UNIT SUPERVISOR'S SIGNATURE:	BADGE NUMBER:	DATE SIGNED:

DISTRICT ADMINISTRATOR'S ACTION:

↓ DECISION ↓ REVIEW ↓ RETAIN ON PAROLE ↓ REFER TO BPH			
↓ DISCHARGE EFFECTIVE DATE: _____ ↓ SCHEDULE FOR DISCHARGE CONSIDERATION COMMITTEE			
↓ SPECIAL CONDITIONS(S): DELETE			↓ ADD ↓
DISTRICT ADMINISTRATOR'S COMMENTS / DECISION / RECOMMENDATION:			
PRINT DISTRICT ADMINISTRATOR'S NAME:	DISTRICT ADMINISTRATOR'S SIGNATURE:	BADGE NUMBER:	DATE SIGNED:
OFFENDER PROVIDED COPY (DATE): _____ ↓ MAILED BY (INITIALS): _____ ↓ DELIVERED BY (INITIALS): _____			
ORIGINAL TO CASE RECORDS (DATE): _____ ↓ MAILED BY (INITIALS): _____			

DISCHARGE REVIEW REPORT

CDCR 1502DR (CONTINUED)

INSTRUCTIONS FOR COMPLETING CDCR 1502DR, DISCHARGE REVIEW REPORT

DISCHARGE REVIEW:

In the "Discharge Review Criteria" section, summarize parole adjustment, including residence, employment, arrests, violations, etc., and special conditions. Parole Agent will recommend "Retain on Parole," or "Discharge" and explain the basis for their recommendation. Attach a CI&I report, BPH 1130 and Legal Status Sheet. Distribution: Original to Case Records, one copy to the field file, and one copy to the parolee.

PAROLEE EXIT SURVEY

California Department of Corrections and Rehabilitation Division of Adult Parole Operations Parolee Exit Survey	1=Strongly Agree 2=Agree 3=Neutral 4=Disagree 5=Strongly Disagree
I had input in my case plan.	1 2 3 4 5
The rules of my supervision were clearly explained to me.	1 2 3 4 5
I understood the expectations of what I needed to do in order to successfully complete my parole.	1 2 3 4 5
My assigned parole agent served as a good role model.	1 2 3 4 5
My assigned parole agent cared about whether I succeeded.	1 2 3 4 5
If I had a complaint about my assigned parole agent, I knew who to contact.	1 2 3 4 5
My family/significant other was as involved as I wanted them to be.	1 2 3 4 5
Sufficient programming was available to help me acquire the knowledge and skills to succeed.	1 2 3 4 5
The length of my supervision was about right.	1 2 3 4 5
Overall, I was pleased with how my supervision went.	1 2 3 4 5
Comments:	

APPENDIX 6:

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